DOCUMENT RESUME

ED 428 465 EA 029 752

TITLE	U.S. Department of Education FY 2000 Annual Plan, Volume 1: Objective Performance Plans and Data Quality.
INSTITUTION	Department of Education, Washington, DC.
PUB DATE	1999-02-25
NOTE	259p.; For Volume 2, see EA 029 753.
AVAILABLE FROM	Tel: 800-USA-LEARN (Toll Free); e-mail: strategic_plan@ed.gov; Web site: http://www.ed.gov/pubs/
PUB TYPE	Guides - Non-Classroom (055) -- Legal/Legislative/Regulatory Materials (090)
EDRS PRICE	MF01/PC11 Plus Postage.
DESCRIPTORS	Educational Assessment; *Educational Objectives; Elementary Secondary Education; *Government Role; Government School Relationship; Performance; School Effectiveness
IDENTIFIERS	Department of Education

ABSTRACT

This annual plan identifies the key strategies and performance measures for the Department of Education (ED). The plan focuses on strategies for achieving the ED's mission, which is to ensure equal access to education and to promote educational excellence, and it discusses the department's four goals that support this mission: (1) help all students reach challenging academic standards so that they are prepared for responsible citizenship, further learning, and productive employment; (2) build a solid foundation for learning for all children; (3) ensure access to postsecondary education and lifelong learning; and (4) make ED a high-performance organization by focusing on results, service quality, and customer satisfaction. The goals, which are supplemented with 22 objectives, represent key customer groups and education processes. They start with support measures for building the capacity of the elementary and secondary school system and move from support for the conditions that must be achieved for specific K-12 target populations to postsecondary-education access. New emphasis on linking performance measurement to program improvement and some of the challenges of measurement are described. To measure performance, seven key outcome indicators are presented. Four appendices outline coordination efforts with federal agencies, descriptions of program evaluations, funding and staffing by objective, and other information. (RJM)

****
* Reproductions supplied by EDRS are the best that can be made *
* from the original document. *
****

ED 428 465

EA 029752

U.S. Department of Education

FY 2000 Annual Plan

Volume 1.
Objective Performance Plans and Data Quality

February 25, 1999

U.S. DEPARTMENT OF EDUCATION
Office of Educational Research and Improvement
EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)

☑ This document has been reproduced as received from the person or organization originating it.

☐ Minor changes have been made to improve reproduction quality.

- Points of view or opinions stated in this document do not necessarily represent official OERI position or policy.

BEST COPY AVAILABLE

The Department of Education's Mission

To ensure equal access to education and to promote educational excellence throughout the nation.

Preface

The American people consistently rank education as a top national priority; they recognize education as being crucial to helping people secure jobs and become responsible, productive citizens. In recent years, the role of education has expanded beyond providing all children with a challenging academic experience to moving families from welfare to work, teaching children to avoid illegal drugs and alcohol, preparing a skilled workforce for our growing technology sector, and offering safe and supervised before- and after-school enrichment programs for children.

President Clinton's FY 2000 budget request seeks to strengthen education's position to deal with these growing responsibilities. Built on the Department of Education's (ED) previous success, this budget would allow us to continue to help states and communities move academic standards for all students into the classroom; create partnerships between schools, families, businesses, and community organizations; and greatly expand financial support for college students. Initiatives in FY 2000 would help reduce class size in the lower grades to just 18 students per class, recruit and train thousands of qualified teachers for the country's booming student population, and use tax credits to build modern school buildings. ED's programs would also help children read well by the end of the third grade and master challenging mathematics by the eighth grade. The programs would also promote professional development for teachers to use educational technology in the classroom, assist in providing programs during the out-of-school hours through the 21st Century Community Learning Centers, and encourage children and families to start planning early for college.

To address these issues, the Department of Education has established four main goals by which we focus our work:

(1) Help all children reach challenging academic standards, so that they are prepared for responsible citizenship, further learning, and productive employment;
(2) build a solid foundation for learning for all children;
(3) ensure access to postsecondary education and lifelong learning; and
(4) make ED a high-performance organization by focusing on results, service quality, and customer satisfaction.

This Strategic Plan for FY 2000 reflects these four goals and provides a concrete description of the strategies we are employing to achieve them. Complete with past accomplishments and future goals, this document is designed to hold us accountable both to the American public and to Congress, and to guide us to continuously improve the effectiveness of our performance.

As the demands upon education grow, the Department of Education is faced with a deeper responsibility toward the American people to constantly find more effective ways of helping states and communities improve their educational systems. This document sets forth our goals of Departmental and national improvement in education and our plans for meeting them.

Richard W. Riley
Secretary of Education

Marshall S. Smith
Deputy Secretary of Education (A)

Facts about the Department of Education

- **Staffing.** The U.S. Department of Education (ED) staff is the smallest federal department, with full-time equivalent (FTE) staffing ceiling in FY 1999 of 4,694.

- **Programs.** The number of programs that will be administered in FY 1999 is about 170.

- **Federal Funding.** We will provide or oversee an estimated $74 billion in aid to education in FY 1999. This figure includes program funding, new student loans, and federal administration. It breaks down as follows:

  - ***Congressional appropriations for program activities:*** *$39.0 billion.* These funds are used for grants to state and local agencies, higher education institutions, and other entities; contracts; and subsidies for direct and guaranteed student loans.
  - ***New student loans:*** *$39.8 billion.* Postsecondary education student loans are made by ED, guaranteed by ED and issued by banks and other financial institutions, or, under the Perkins loan program, issued by postsecondary educational institutions.
  - ***Departmental management:*** *$461.8 million.* Department of Education salaries and expenses totaled 1.2% of the FY 1999 Department appropriations for aid to education.
  - ***Total loans.*** We are responsible for a portfolio of outstanding student loans that will total about $171 billion at the end of the FY 1999, one of the largest loan portfolios in the world.

- **Proportion of Federal funding.** Federal funds from all federal agencies represent a small but important proportion of K-12 education funding and postsecondary general institutional funding, but provide or guarantee a very large share of student financial aid. For FY 1999, it is estimated that federal education funds will represent about –
  - 9% of all education funding (public and private).
  - 6% of K-12 funding (public and private).
  - 12% of funding for postsecondary institutions (excluding student financial aid).
  - 75% of all student financial aid awarded to postsecondary students.

Contents

Preface

Introduction......1

End Outcomes for Goal 1 and Goal 2......8

Goal 1. Help all children reach challenging academic standards, so that they are prepared for responsible citizenship, further learning, and productive employment......16
Objective 1.1: States develop challenging standards and assessments for all students in the core academic subjects. 18
Objective 1.2: Every state has a school-to-work system that increases student achievement, improves technical skills, and broadens career opportunities for all......24
Objective 1.3: Schools are strong, safe, disciplined, and drug-free......31
Objective 1.4: A talented and dedicated teacher is in every classroom in America......38
Objective 1.5: Families and communities are fully involved with schools and school improvement efforts......48
Objective 1.6: Greater public school choice will be available to students and families......55
Objective 1.7: Schools use advanced technology for all students and teachers to improve education......61

Goal 2. Build a solid foundation for learning for all children. 70
Objective 2.1: All children enter school ready to learn......71
Objective 2.2: Every child reads well and independently by the end of the third grade......76
Objective 2.3: Every eighth-grader masters challenging mathematics, including the foundations of algebra and geometry......83
Objective 2.4: Special populations participate in appropriate services and assessments consistent with high standards......91

Goal 3. Ensure access to postsecondary education and lifelong learning......101
Objective 3.1: Secondary school students get the information, skills, and greater support they need to prepare successfully for postsecondary education......103
Objective 3.2: Postsecondary students receive the financial aid and support services they need to enroll in and complete a high-quality educational program......109
Objective 3.3: Postsecondary student aid delivery and program management is efficient, financially sound, and customer-responsive......116
Objective 3.4: All adults can strengthen their skills and improve their earning power over their lifetime through lifelong learning......121

Goal 4. Make ED a high-performance organization by focusing on results, service quality, and customer service......129
Objective 4.1: Our customers receive fast, seamless service and dissemination of high-quality information and products......131
Objective 4.2: Our partners have the support and flexibility they need without diminishing accountability for results......136
Objective 4.3: An up-to-date knowledge base is available from education research to support education reform and equity......142
Objective 4.4: Our information technology investments are sound and used to improve

impact and efficiency..146
Objective 4.5: The Department's employees are highly skilled and high-performing.................152
Objective 4.6: Management of our programs and services ensures financial integrity................158
Objective 4.7: All levels of the agency are fully performance-driven...162

Use of Tax Expenditures...166

Role of Evaluation in GPRA...169

Quality of Performance Data: How Data will be Verified and Validated.............................175

Appendix A: Coordination with Federal Agencies..185

Appendix B: Description of Program Evaluations and Other Studies.................................193

Appendix C: Relationship of Program Goals to Strategic Plan Goals and Objectives........212

Appendix D: Funding and Staffing by Objective..217

Introduction

The American public consistently rates education among its top national priorities. The public rightly expects the U.S. Department of Education, in partnership with states, communities, institutions, and other federal agencies, to carry out its responsibilities to effectively and efficiently support educational excellence and equity for all children. This second annual plan identifies the key strategies and performance measures to meet the public's high expectations and to fulfill its obligation to become a high-performance organization though implementing its "Results Act" Strategic Plan for 1998-2002.

The plan focuses on achieving the Department's mission: "*To ensure equal access to education and to promote educational excellence throughout the nation.*" Our four goals to support this mission are as follows (see Figures 1 and 2):

1. *Help all students reach challenging academic standards so that they are prepared for responsible citizenship, further learning, and productive employment.*
2. *Build a solid foundation for learning for all children.*
3. *Ensure access to postsecondary education and lifelong learning.*
4. *Make ED a high-performance organization by focusing on results, service quality, and customer satisfaction.*

The Education Department has come a long way toward developing the organizational and management capacity to achieve these goals. Seven years ago, the General Accounting Office identified the Department as a troubled organization with serious management weaknesses. At that time the Department lacked a Department-wide strategic plan that set out, in one statement, its core policy, program and management priorities. Many programs could not specify their intended performance goals and hence could not be held accountable for results. Critical management weaknesses in major systems, especially in major student aid systems, were prevalent.

The Department has taken significant action to correct these weaknesses, including reforms initiated in response to the "Results Act." It is shifting organizational priorities to performance accountability, strengthening key management systems, and introducing new staff development and mobility initiatives.

These actions are paying off in improved results and performance during the 1990s:

- *Scores for mathematics are up, especially for schools serving low-income students.*
- *Nearly all states now have reading and math academic standards in place, whereas few did so prior to Goals 2000 and the 1994 elementary and secondary reauthorization*
- *A 1998 report by the General Accounting Office praised the Goals 2000 program for its work in helping states and districts implement standards-based reform.*
- *Rates of student loan defaults have been halved, to below 10 percent, from rates in excess of 20 percent a decade ago, saving taxpayers several billion dollars annually.*
- *New streamlined electronic reporting systems are simplifying student aid applications and improving the overall financial integrity of the system*

- *Major progress realized in Y2K compliance with 13 out of 14 mission critical systems compliant, validated and implemented and 99 percent of non-mission critical systems, and the last system will be completed well before March 3, 1999.*
- *The Department's 1-800-USA-LEARN information center served its 1-millionth customer, and the Department's WEB site receives 3 million hits a month.*
- *The Department received its first department-wide "clean audit" opinion, which represents independent verification of its strengthened financial management systems and procedures in handling public funds*
- *The Department has established a new Performance-based organization to oversee the modernization and management of the $52 billion student aid delivery system.*

The Education Department, in partnership with the Congress, has also identified and addressed major new national education initiatives that are reflected in new legislation and increased budgets. Examples are:

- The "America Reads Excellence Act," which is the first time the Department has formally recognized reading as a major Departmental program area for support

- The "21st Century Schools" program, which supports after-school programs to extend learning time and provide children with positive environments during those hours of the day in which youth criminal activity is highest.

- "GEAR UP" (Gaining Early Awareness and Readiness for Undergraduate Programs) to help children during their critical middle school years make intelligent choices about taking tough courses and working hard in school.

- The teacher quality enhancement program, to improve the quality of the teaching force.

The Education Department also realizes that the progress it has achieved in performance represents only initial steps toward becoming a performance-driven agency that ranks among the best in the public and private sectors. Changing agency culture to focus on impact, not number of grants, takes time. It requires altering agency incentives and providing employees at all levels of the organization with the skills and tools they need to become truly performance driven.

A strengthened FY 2000 annual plan

The Department's annual plan retains its previous two-part division. Volume I represents the consolidated agency-wide plan. It consists of the four agency-wide goals just identified and 22 objectives. The goals and objectives are summarized in Figure 2. The goals represent key customer groups and education processes, starting with support for building the capacity of the elementary and secondary school system, moving to support for the conditions that must be achieved for specific K-12 target populations, and then to postsecondary education access. To make the plan work, the fourth goal represents cross-cutting management strategies to support achieving the three substantive goals. Figure 2 illustrates the relationship among the goals. Volume II of the plan contains the program performance plans to support achieving the four goals.

The Education Department FY 2000 plan incorporates a number of significant improvements to support performance and results compared with its initial FY 1999 plan:

- **Most annual plan indicators have baseline measures.** The FY 2000 annual plan, Volume I (department level) includes 98 indicators, 90% of which have baseline performance measures. Many of the baseline measures include multiyear information to provide a basis for judging both short-term and long-term progress. Although the Results Act is linked with the annual budget process and focused on annual changes, many indicators of educational system performance objectives move slowly and are best viewed over the long-term.

- **Most programs (other than ones newly enacted) have baseline performance measures for program outcomes.** Within the 94 FY 2000 program plans, approximately 85% of programs that are not newly authorized present baseline performance measures for program outcomes. Although all programs are scheduled to have outcome data as required by the FY 2000 performance report, the Department is seeking in advance to hold as many programs as is feasible accountable for results.

- **A new section in the annual plan on limitations of the data and strengthened sections on data verification.** These sections will be used to guide improvements in indicator development and data quality.

- **A new section on external factors affecting achievement of Departmental objectives.** External factors are especially important in achieving education objectives because of the dependence of the Department on its governmental and institutional partners. This section identifies, for each objective in Volume 1, key factors that are largely outside of direct Departmental control, and discusses how the Department is working to positively respond to strengthen its objectives.

- **Draft standards on data quality.** In its FY1999 plan, the Department made a commitment to developing standards for data quality and a process for implementing these standards. This year's plan contains these draft standards and a plan for their implementation (see the section on Data Quality). The draft standards are now being reviewed by program offices and will be implemented in FY1999.

Linking performance measurement to program improvement

The ultimate success or failure of Education's Results Act initiative will hinge on how effective the Department is in integrating performance measurement into program, policy, and management decisions across all aspects of service delivery. The failure of many prior federal-level management reforms, such as Zero-Based Budgeting and Management by Objectives, suggests the need for constant attention to its usefulness. It is not something that simply happens.

Performance measures are important for more than accountability; they are even more important for improvement. The Department has sought to meld the two together. Accountability to the taxpayers of the country is necessary, but it is equally important to provide those being held accountable with the tools and supports for improvement.

Examples of Departmental initiatives to strengthen accountability and to improve performance are as follows:

- The Deputy Secretary implemented performance agreements with all senior-level officers that includes their identifying expected strategic plan accomplishments. These performance agreements are designed to align with and carry out the relevant parts of the Strategic Plan for each office. Regular meetings with the Deputy Secretary provide progress updates and can provide needed Department-wide assistance.

- The Department will propose elementary and secondary education legislation, that will carry out the President's State of the Union pledge to improve the quality and accountability of elementary and secondary schools through such performance-based strategies as issuing school report cards to publicly report performance, ending social promotion, and assessing competency of entering teachers. Each measure is accompanied by corresponding requests for added assistance to facilitate performance.

- The Department's first-ever "Customer Satisfaction Report" will be released this year. It will identify areas in which the Department serves its customers well and areas in which improvements are needed. The customer satisfaction report will segment the Department around major customer groups, such as students, teachers, and higher education institutions, rather than organized by program. This will provide a comprehensive perspective on how well the different parts of the Department work together to meet customer needs.

- The Department will produce integrated program self-assessment guides to strengthen use of performance measures at both national and grantee service levels. Grantees can use the guides as tools to support self-appraisal and continuous improvement and for performance reporting.

- The Department will expand staff training in performance measurement and strategic planning. Education's Intranet site will enable staff to receive training in plain English in performance measurement, as through the recently prepared performance measurement guide in higher education "cite, " along with examples and question and answers.

Measurement challenges

The Education Department works within a highly diverse and decentralized American education system. This system presents several challenges for performance measurement

1. Overcoming serious data limitations. These stem from three main causes: some program and management areas within the Department lack a foundation of performance measurement; the joint character of federal programs with states, communities and institutions makes it difficult to create sound measurement systems, and the large numbers of programs the Department has to measure. The FY 2000 report has made inroads in filling measurement gaps and improving quality. However, one unintended consequence of improved measures is some lack of indicator continuity from those submitted for FY 1999. We expect in future years, as the Strategic and performance plan process matures, the number and scope of indicator changes will be much reduced.

2. Evaluating individual performance within a system in which national education goals and objectives are achieved with limited federal control. Many larger federal programs, especially

11

those within the elementary and secondary education system, operate as formula grants to help overall state educational systems meet the needs of certain national priority populations or services. Control group studies to isolate a program's unique contribution to outcomes, such as student test scores, are not feasible. In such cases, the Department of Education's plan typically identifies and displays both performance on joint outcomes and performance on intermediate program-specific outcomes, such as service quality, which are more directly under federal control (GAO, *Managing for Results*).

3. **Cross-program and cross-agency coordination.** Programs with overlapping purposes are another example of joint program outcomes. For example, support for reading occurs directly through the new "America Reading Excellence Act," but also through programs for special need populations, such as Title I, ESEA assistance for at-risk children in high-poverty areas. Volume I of the plan is structured to focus on agency-wide objectives and allows for cross-cutting program goals, with each objective including a description of related programs supporting that objective.

The Department is making progress in coordination, for example, in the research area, where OERI is collaborating with the National Science Foundation and the National Institute for Child Development to develop a strong, coordinated research agenda. Other examples of cross-agency coordination are summarized in Appendix A.

The Department of Education also realizes, however, that it needs to better understand the relationship among programs with overlapping goals and to assess the feasibility of strengthening coordination through joint planning, coordinated service delivery, and integrated performance measurement systems. To achieve that understanding the Department is initiating **across-program/across-agency reviews** in at least the following objective areas:

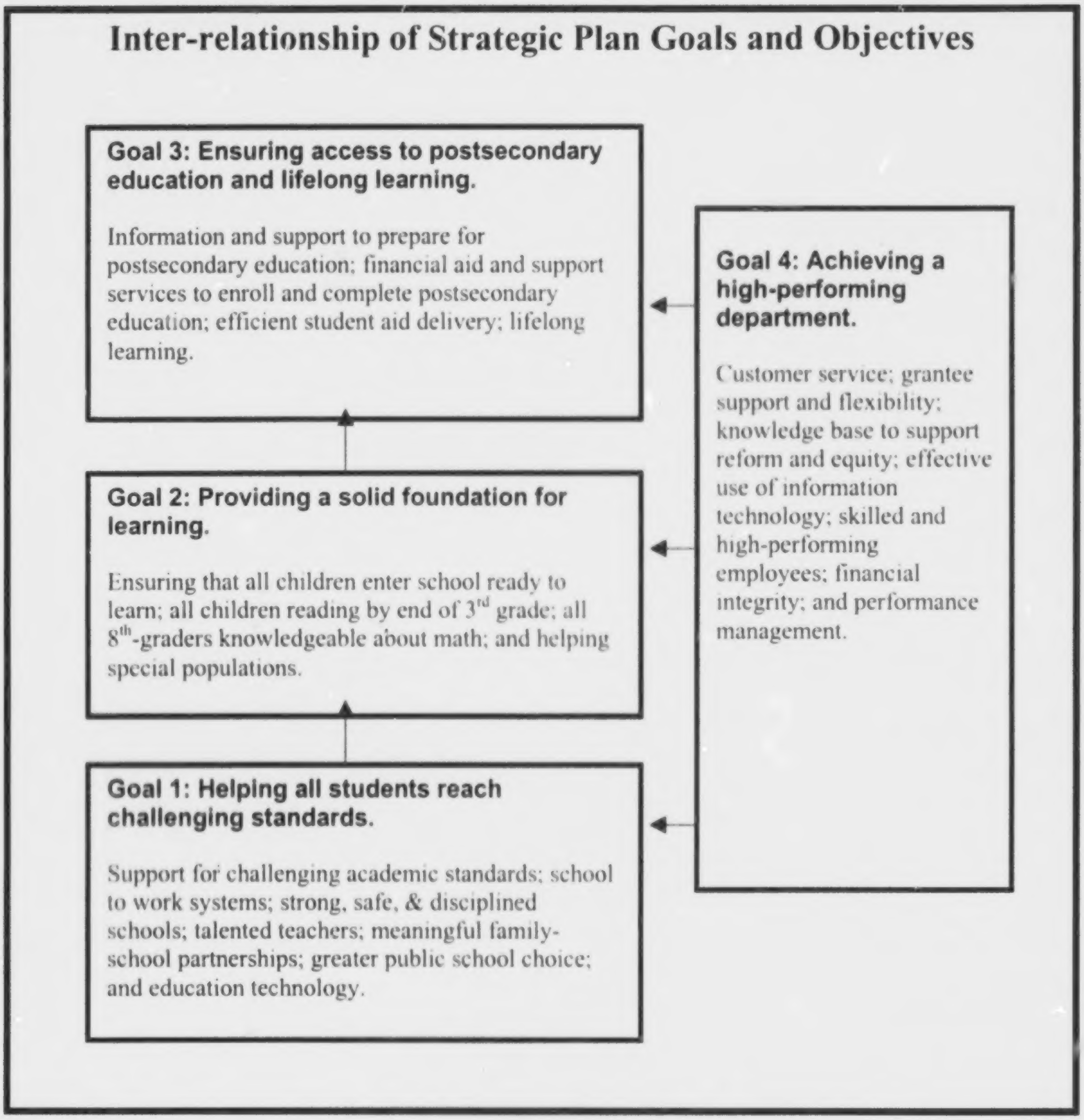
- Reading, including family literacy and early childhood (objectives 2.1 and 2.2)
- Mathematics (objectives 2.3)
- Teacher quality (objective 1.4)
- Technical assistance under the broader support objective (objective 4.2)
- Research and knowledge development.

4. **Creating systems of information collection out of disjointed, overlapping studies, program performance reports, and statistical reporting.** The Department will seek to reduce duplication through the application of distributive data base technology to improve data base linkage. This work involves collaboration with program offices, research and statistical agencies, state and local grantees, and private foundations, where appropriate, so that information is gathered as efficiently and in as useful form as possible. The

5. **Providing continuous, timely information.** Information needs to be collected on critical processes of implementation at multiple points to assess change, make midcourse corrections, and share successes. New strategies for moving the Department's evaluations to real-time information are highlighted in the Appendix B on program evaluations.

6. **Measuring the hard to measure.** In some critical program areas, performance measurement is simply not well developed. A major example is teacher quality, where the primary measure is teacher credentials rather than direct measures of quality in the classroom or knowledge students acquire. Lack of good measures of teacher quality also affects the capacity to measure performance across a number of programs affecting teachers from initial credential through professional development. The Department will be launching a major review of teacher quality measurement.

Figure 1.



Inter-relationship of Strategic Plan Goals and Objectives

Goal 3: Ensuring access to postsecondary education and lifelong learning.

Information and support to prepare for postsecondary education; financial aid and support services to enroll and complete postsecondary education; efficient student aid delivery; lifelong learning.

Goal 2: Providing a solid foundation for learning.

Ensuring that all children enter school ready to learn; all children reading by end of 3rd grade; all 8th-graders knowledgeable about math; and helping special populations.

Goal 1: Helping all students reach challenging standards.

Support for challenging academic standards; school to work systems; strong, safe, & disciplined schools; talented teachers; meaningful family-school partnerships; greater public school choice; and education technology.

Goal 4: Achieving a high-performing department.

Customer service; grantee support and flexibility; knowledge base to support reform and equity; effective use of information technology; skilled and high-performing employees; financial integrity; and performance management.

Figure 2.

U.S. Department of Education
Framework of Strategic Plan Goals and Objectives

Mission: To ensure equal access to education and to promote educational excellence throughout the nation.

Goal 1. **Help all students reach challenging academic standards so that they are prepared for responsible citizenship, further learning, and productive employment.**	**Goal 2.** **Build a solid foundation for learning for all children.**	**Goal 3.** **Ensure access to postsecondary education and lifelong learning.**	**Goal 4.** **Make ED a high-performance organization by focusing on results, service quality, and customer satisfaction.**
Objectives	**Objectives**	**Objectives**	**Objectives**
1.1 States develop challenging standards and assessments for all students in the core academic subjects. 1.2 Every state has a school-to-work system that increases student achievement, improves technical skills, and broadens career opportunities for all. 1.3 Schools are strong, safe, disciplined, and drug-free. 1.4 A talented and dedicated teacher is in every classroom in America. 1.5 Families and communities are fully involved with schools and school improvement efforts. 1.6 Greater public school choice will be available to students and families. 1.7 Schools use advanced technology for all students and teachers to improve education.	2.1 All children enter school ready to learn. 2.2 Every child reads well and independently by the end of the third grade. 2.3. Every eighth-grader masters challenging mathematics, including the foundations of algebra and geometry. 2.4 Special populations participate in appropriate services and assessments consistent with high standards.	3.1 Secondary school students get the information, skills, and support they need to prepare successfully for postsecondary education. 3.2 Postsecondary students receive the financial aid and support services they need to enroll in and complete a high-quality educational program. 3.3 Postsecondary student aid delivery and program management is efficient, financially sound, and customer-responsive. 3.4 All adults can strengthen their skills and improve their earning power over their lifetime through lifelong learning.	4.1 Our customers receive fast, seamless service and dissemination of high-quality information and products. 4.2 Our partners have the support and flexibility they need without diminishing accountability for results. 4.3 An up-to-date knowledge base is available from education research to support education reform and equity. 4.4 Our information technology investments are sound and used to improve impact and efficiency. 4.5 The Department's employees are highly skilled and high-performing. 4.6 Management of our programs and services ensures financial integrity. 4.7 All levels of the agency are fully performance-driven.

BEST COPY AVAILABLE

End Outcomes for Goal 1 and Goal 2

Context: Congress appropriated approximately $39 billion in FY 1999 for various program activities administered by the U.S. Department of Education. Expenditures for these program activities represented about 2 percent of the federal government's annual $1.7 trillion budget. Continuing ED's expenditures with funding from all other federal agencies, the federal government contributes approximately 9 percent to total national expenditures on education, and the remaining 91 percent comes from State, local, and private sources. More than half of the Department's $39 billion budget supported elementary and secondary education. In addition to the many programs the U.S. Department of Education administers, tax expenditures targeted for education benefits also significantly support the objectives of the Department's Strategic Plan.

To measure the use of these resources, the U.S. Department of Education's Strategic Plan for sets forth seven key performance indicators for elementary and secondary education, which are shown here. These indicators summarize the nation's education progress across the wide variety of Departmental programs, and provide a picture of the state of U.S. elementary and secondary education as a whole.

Progress toward the seven key outcome indicators in this section is influenced by federal programs and activities taking place under Goals 1 and 2 of the Strategic Plan, namely:

- Goal 1: "All students will reach challenging academic standards so that they are prepared for responsible citizenship, further learning, and productive employment."
- Goal 2: "A solid foundation will be built for the learning of all children."

External factors. The outcomes measured by these seven indicators cannot be achieved by the federal government alone, but constitute a shared national responsibility of districts, schools, parents, communities, and society at large. The strategies described in Goals 1 and 2 show how we can work together with our non-Federal partners to focus on results, minimize administrative burden, and use resources to the fullest in order to maximize student learning.

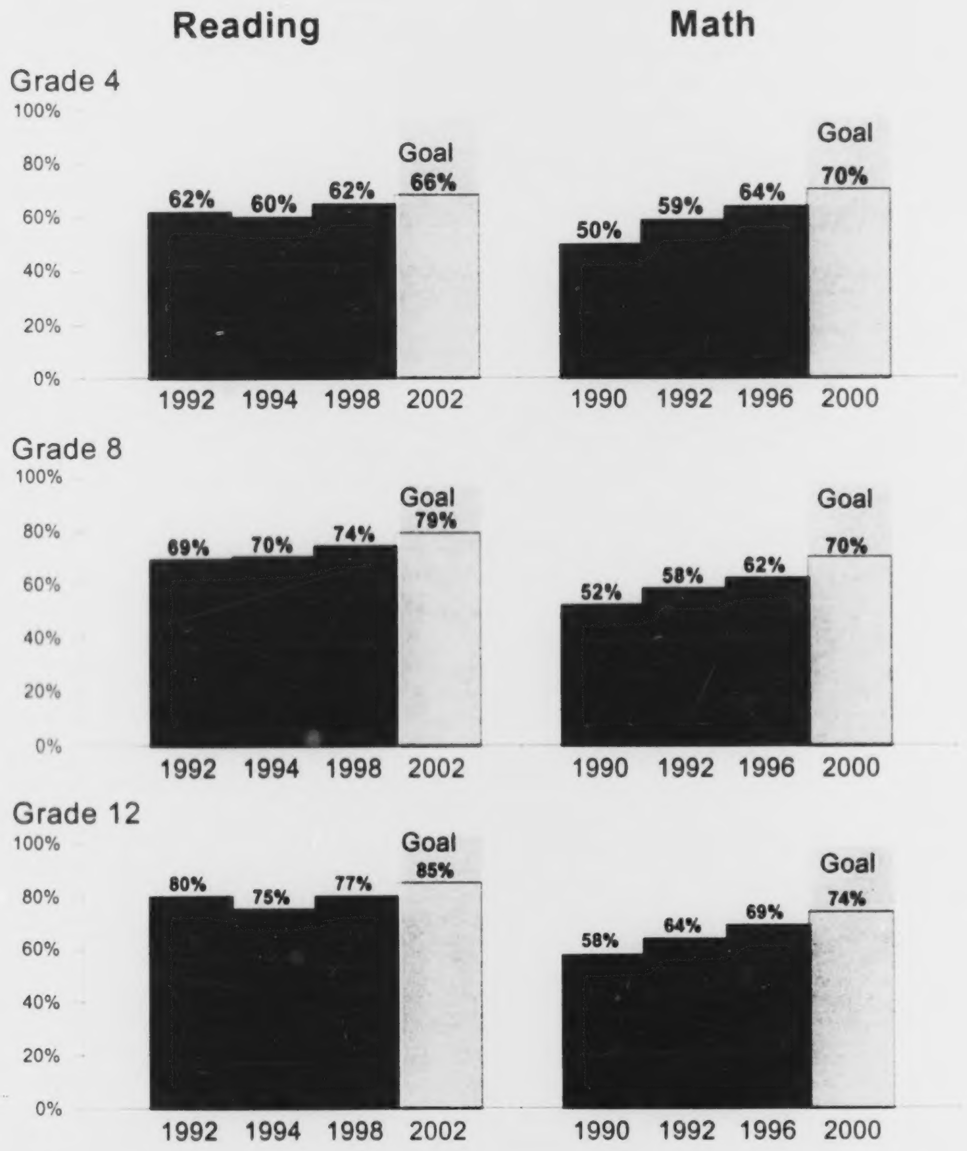
Performance indicators and charts

Indicator 1. Increasing percentages of all students will meet or exceed basic, proficient, and advanced performance levels in national and state assessments of reading, math, and other core subjects.

Indicator background and context. The percentage of fourth and twelfth grade students performing at or above the basic level in reading has been stable since the early 1990s. Eighth graders' reading performance has improved. Math performance improved substantially for students in all three grades from 1990 to 1996.

Figure 3

Performance of Students on NAEP Assessment
(Percentage of Students Scoring At or Above NAEP Basic Level)



Limitations of the data. Reading data for 1990 is omitted because it is not comparable with that of later years.
Verification/validation of measures: Data verified and validated by the National Center for Education Statistics and the National Assessment Governing Board.
Data source(s). National Assessment of Educational Progress (NAEP) and the National Center for Education Statistics.

Indicator 2. Students in high-poverty schools will show continuous improvement in achieving proficiency levels comparable to those for the nation.

Indicator background and context.
Reading. While students in low-poverty schools improved their reading scores from 1988 to 1996, scores of students in high-poverty schools have only begun improving since 1992. From 1992 to 1996, scores of 9-year-olds in high-poverty schools rose by 8 scale score points, or close to a grade level of improvement.

Figure 4

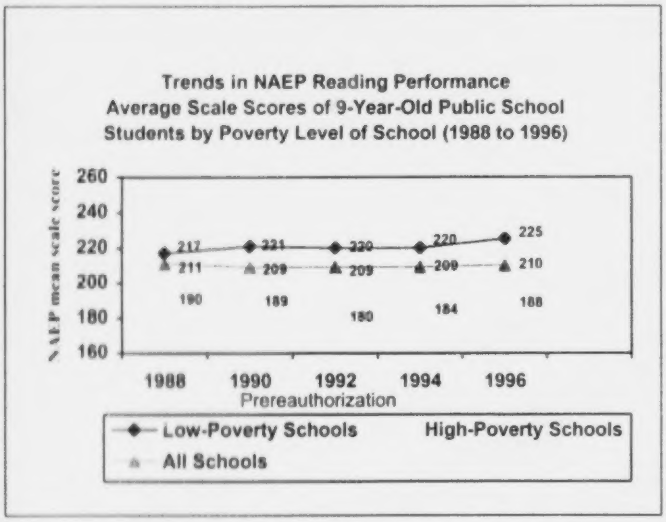
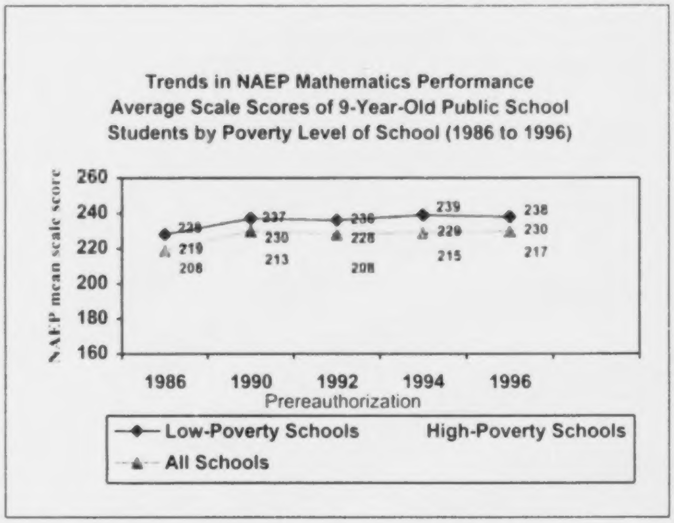


Figure 5



Math. Improvement in mathematics has occurred most appreciably for students in high-poverty schools since 1992, rising by 11 points, or one grade level. (High-poverty schools are defined as those in which more than 75% of the students are eligible for free or reduced-price lunch. Low-poverty schools are defined as having fewer than 25 % students eligible for free or reduced-price lunch.) The Department of Education's target is to improve the mathematics and reading performance of students in high-poverty schools, such that by the year 2000, at least 50% of these students perform at or above the basic level on NAEP.

Limitations of the data. Data on the percentage of students eligible for free and reduced-price lunch is not available for some schools.
Verification/validation of measures: Based on special analyses of NAEP Reading and Mathematics trend data. NAEP is reviewed according to NCES Statistical Standards.
Data source(s). Special analyses of data from National Assessment of Educational Progress (NAEP) and the National Center for Education Statistics. Next update: Math 2000 data is due in 2001.

Indicator 3. The proportion of high school graduates, including vocational concentrators, who complete at least three years of science and three years of math will increase 10% between 1994 and 2000.

Indicator background and context. In 1994, 60% of all high school graduates had completed three years of mathematics and three years of science. In addition to the number of years of coursework, the level of difficulty of the courses students complete is also important. The percentage of students completing various courses in mathematics and science has increased for all courses offered, as well as for more challenging courses such as calculus and physics.

Figure 6

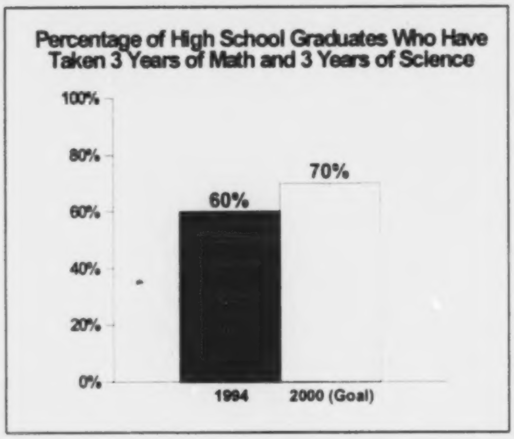
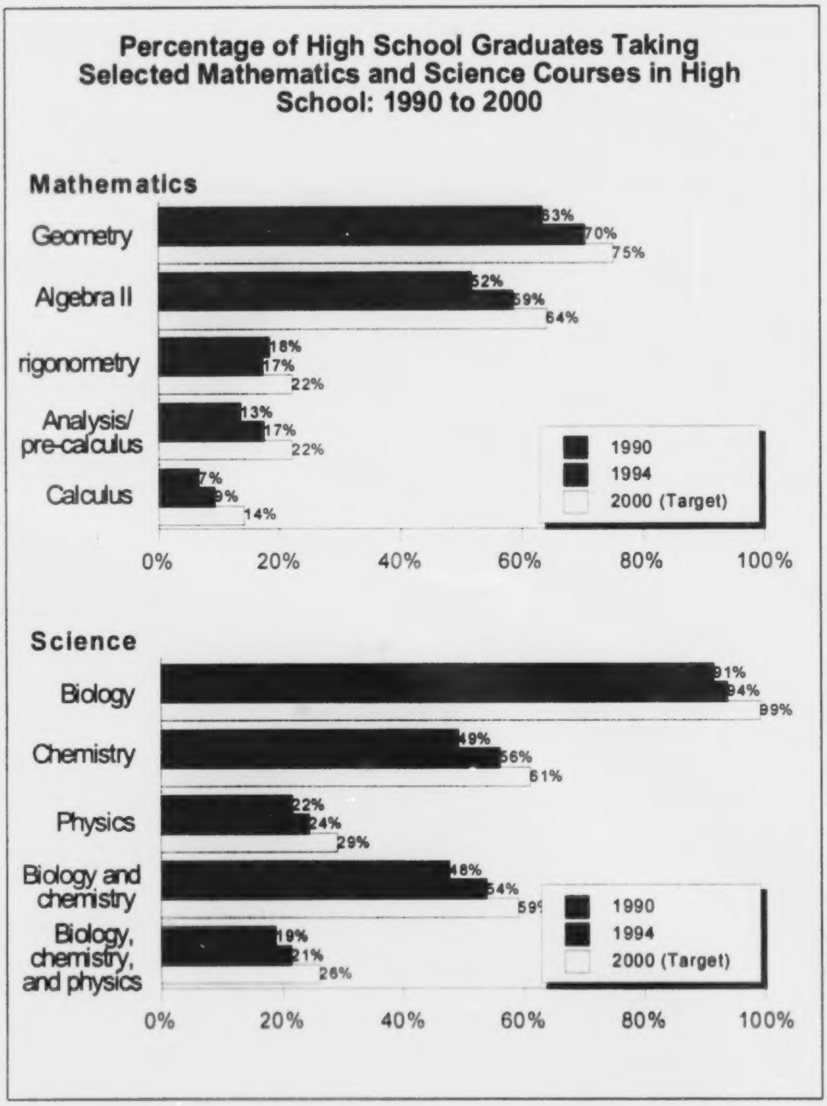


Figure 7

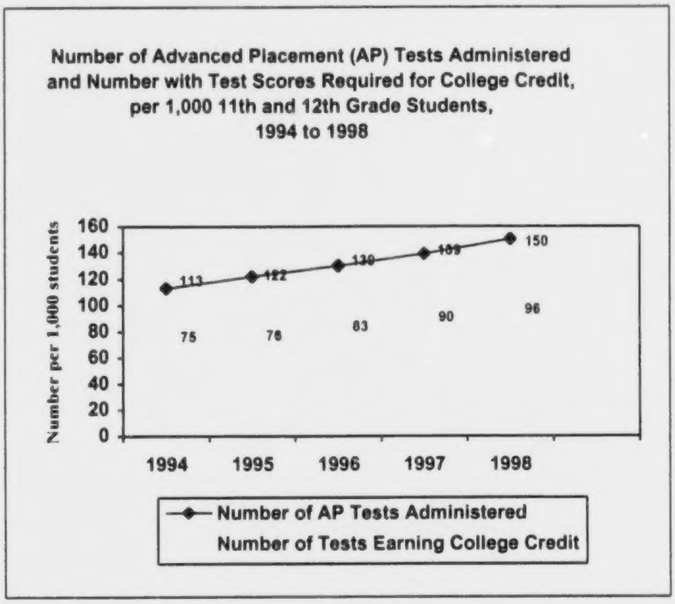


Limitations of the data. These data are collected only once every four years, and 1998 data will be available in year 2000.
Verification/validation of measures: Special tabulations produced for and reviewed by the National Center for Education Statistics, according to the NCES Statistical Standards.
Data source(s). Based on 1994 High School Transcript Study and other surveys, National Center for Education Statistics. Next update: 2000.

Indicator 4. Increasing numbers of high school students will successfully complete advanced placement courses each year.

Indicator background and context. Since 1990, an increasing proportion of 11th and 12th grade students have been taking Advanced Placement (AP) courses, and an increasing number have passed at the level necessary to receive college credit. In 1998, 150 AP tests were administered per 1000 students, and 96 of those tests were awarded college credit. This trend toward increased AP course-taking began in 1984, and has occurred among both sexes and all racial/ethnic groups.

Figure 8



Number of Advanced Placement (AP) Tests Administered and Number with Test Scores Required for College Credit, per 1,000 11th and 12th Grade Students, 1994 to 1998

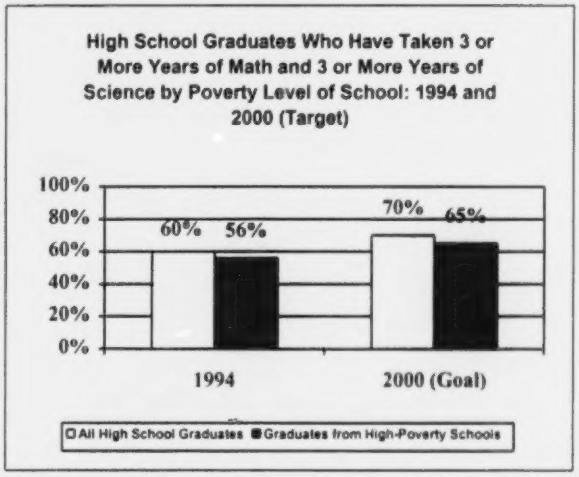
Limitations of the data. Because AP candidates often take more than one examination, there is not a one to one ratio between the number of examinations taken and the number of students.
Verification/validation of measures: Special analyses prepared for and reviewed by the National Center for Education Statistics according to NCES Statistical Standards. Data supplied by The College Board.
Data source(s). Based on special analyses of data from the College Board AP Program prepared for and reviewed by the National Center for Education Statistics. Next update: 1999 data due in 2000.

Indicator 5. Students in high-poverty schools will complete comparable amounts of challenging coursework -- including advanced placement courses -- which will enable them to pursue higher education or other options.

Indicator background and context. As preparation for college, students are encouraged to complete three years of mathematics and three years of science. In 1994, there was only a small gap between the percentage of all graduates and the percentage of graduates of high-poverty schools who had taken this coursework.

While the number of years of mathematics is important, the rigor of the coursework is also important. (See indicator 3 in this series). Research shows that schools with a large proportion of high- poverty students are less likely to offer advanced courses than schools in which students come from affluent families.

Figure 9

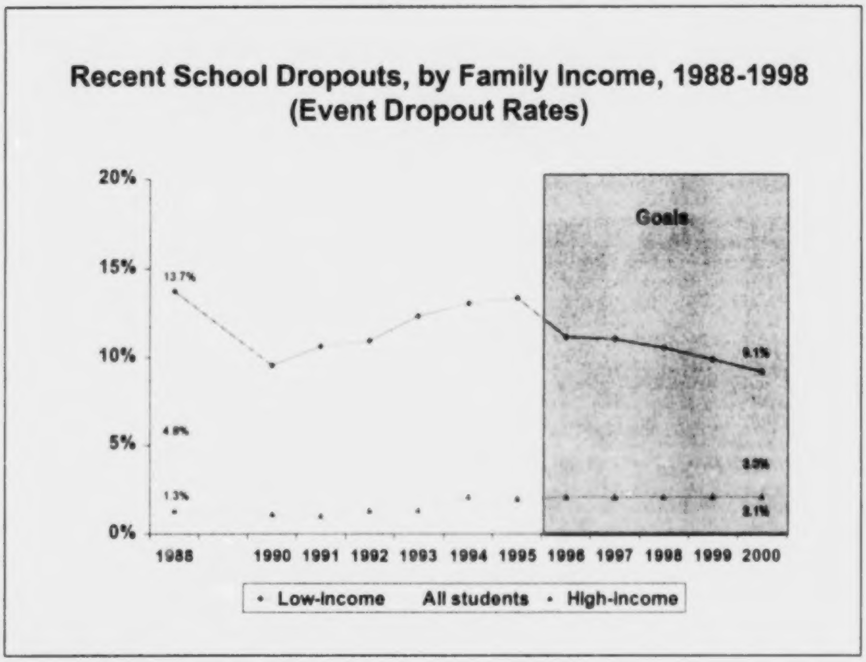


Limitations of the data. Data collected only once every four to six years. Next data to be collected in 2000.
Verification/validation of measures: Special analyses prepared for the National Center for Education Statistics and reviewed according to *NCES Statistical Standards*.
Data source(s). Based on special analyses of data from the NAEP Transcript study prepared for the National Center for Education Statistics. Next update: 1998 data due in 2000.

Indicator 6. High school attendance and graduation rates will continually improve -- particularly in high-poverty schools and among students with disabilities and others at risk of school failure.

Indicator background and context. Between 1990 and 1996, the percentage of students who dropped out of high school increased slightly for all students, and also for students from low-income families. There are many ways to calculate drop out rates. The rate used in this indicator is the event drop out rates, which is the most sensitive to year-to-year changes in the percentage of students who leave school before graduating. The event drop out rate is defined as the percentage of 15-24 year olds who were enrolled in high school one year, but had not completed high school, and were not enrolled in grades 10 to 12 in October a year later.

Figure 10



Limitations of the data. None.
Verification/validation of measures: Data published by the National Center for Education Statistics, and reviewed according to NCES Statistical Standards. Based on U.S. Department of Commerce, Bureau of the Census.
Data source(s). U.S. Department of Commerce, Bureau of the Census, Current Population Survey, October (various years), and National Center for Education Statistics.

Indicator 7. Increasing percentages of high school graduates will successfully transition into employment, further education, or the military.

Indicator background and context. The percentage of graduates who were enrolled in college the October following graduation has risen steadily since the early 1990s. The percentage of graduates not in college who are employed rose dramatically in 1997. The percentage of graduates who are employed is sensitive to fluctuations in the economy.

BEST COPY AVAILABLE

Figure 11

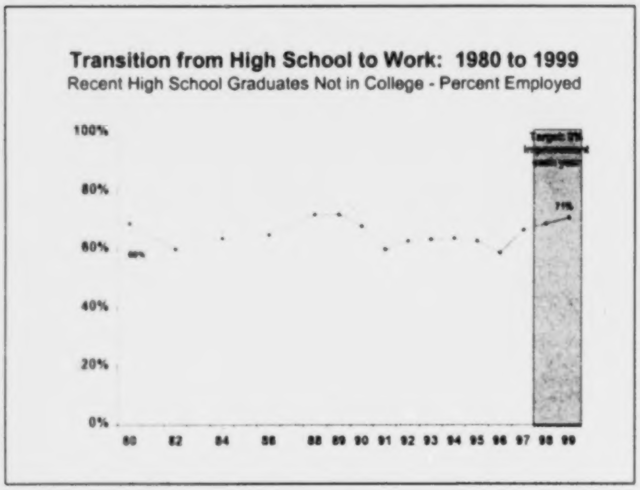
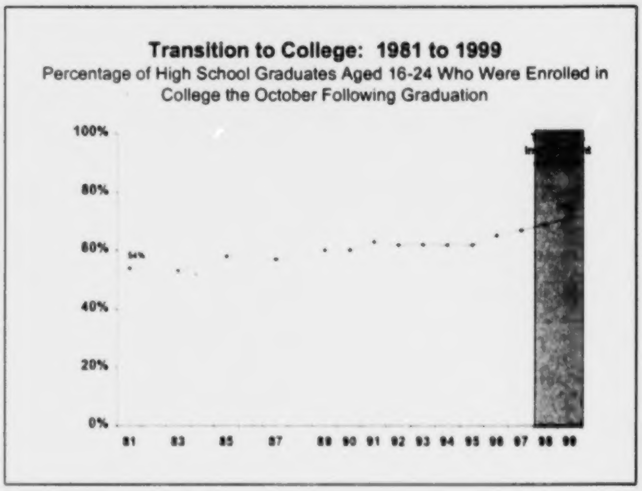


Figure 12



Limitations of the data. None.
Verification/validation of measures: Data provided by the National Center for Education Statistics, and reviewed according to NCES Statistical Standards.
Data source(s). Based on special analyses of Census Bureau data, and the October Current Population Surveys prepared for the National Center for Education Statistics. Next update: annually.

Goal 1. Help all children reach challenging academic standards, so that they are prepared for responsible citizenship, further learning, and productive employment.

A high quality education system is essential for America's future prosperity. Today's students will, within a few years, participate in our political system and our economy. To prepare them to make productive contributions, the U.S. Department of Education (ED) will continue to assist educators, decision-makers, and families in reforming and revitalizing education at all levels.

So that all students will be prepared for responsible citizenship, further learning, and productive employment, the U.S. Department of Education will continue to focus on the areas that are central to improving and maintaining high standards of learning for everyone. ED is committed to pursuing strategies that help American schools provide students with equal opportunities to excel. This means ensuring that:

1. States develop and implement challenging standards and assessments for all students in the core academic subjects. All students must have the opportunity to attain educational excellence, which will only happen if schools are held accountable for helping students achieve.

2. Every state has a school-to-work system that increases student achievement, improves technical skills, and broadens career opportunities for all. By improving the connection between real work situations and the classroom, and by increasing access to further education and training, we can inspire students to strive for excellence and ensure that they make a smooth transition to future careers.

3. Schools are safe, disciplined, and drug-free. If students are to learn effectively, schools must provide a safe and drug-free environment.

4. A talented and dedicated teacher is in every classroom in America. Teachers who are well-prepared and highly skilled support, encourage, and inspire student excellence.

5. Families and communities are fully involved with schools and school improvement efforts. When families are involved in their children's education, learning improves. When families are involved in schools, schools improve. Family involvement is an essential part of ensuring educational excellence.

6. Greater public school choice will be available to students and families. Public school choice can help schools in addressing the needs and interests of students and families, fostering improved learning.

7. Schools use advanced technology for all students and teachers to improve education. When used effectively, with appropriate training and other support, technology can significantly improve teaching and learning.

As part of the process of reauthorizing the Elementary and Secondary Education Act, the Department is exploring ways to strengthen the legislation to ensure that all students learn to high standards, build the capacity of schools and teachers to provide a high-quality education, and support accountability for educational results in states, districts, and schools. By pursuing key strategies in these areas—including financial support, technical assistance, dissemination of innovative approaches, coordination with state initiatives and the efforts of other federal agencies, research and evaluation—the U.S. Department of Education is fostering educational excellence and success for all students.

Objective 1.1: States develop challenging standards and assessments for all students in the core academic subjects.

Context: All students must have the opportunity to reach high levels of educational excellence, and all schools should be held accountable for enabling students to achieve to high standards. The FY 1994 reauthorization of the federal elementary and secondary programs, along with the creation of Goals 2000, supported the development of challenging standards and assessments, and brought federal program support and accountability in line with state and local reform efforts. As states make progress in developing challenging content and student performance standards, the focus of the U.S. Department of Education (ED) is turning toward helping states and districts build the capacity of schools and teachers to deliver high-quality curriculum and instruction and to provide students with the support they need to meet high standards for learning.

Meeting the goal of helping all children reach high standards of learning is a truly cross- cutting objective in which every federal program has a role to play. Most notably, Title I of the Elementary and Secondary Education Act (ESEA) is focused on ensuring that all students meet high standards, especially students who are at risk of educational failure in economically disadvantaged communities. Goals 2000 provides grants to states and districts to improve student achievement by supporting local standards-based reform efforts. Through these programs, ED is helping states, districts, and schools to develop challenging content and student performance standards and assessments, bring standards into the classroom; hold schools accountable for results; and assist states, districts, and schools in aligning all aspects of their educational system with high standards of learning.

Although it appears that all states are making progress on developing standards and have adopted a time line that will produce assessments aligned with content and student performance standards by 2000-01, a number of states are currently operating under a waiver of the ESEA standards deadline to extend the period of time these states have to complete the process of developing performance standards. Many states have adopted a process different from the one anticipated in 1994. Rather than developing student performance standards as a template for assessments to come on line later, many states are developing their assessment instruments and constructing performance standards from pilot tests of their new assessments. This approach requires more time than the statute allowed. A few states are experiencing technical difficulties related to developing and aligning their standards. ED has made technical assistance available to these states and has granted waivers to extend the period of time they have to complete the standards process.

External factors: The development of state content and performance standards is an ongoing process requiring constant revision, improvement, and raising of expectations and standards. To be meaningful, setting standards at the state level must be accompanied by ongoing efforts to bring standards to the classroom level, equip teachers to help students meet standards, and set in place measures of accountability for meeting expectations. While the Department has provided assistance and expertise to accelerate the pace of reform and enhance the impact, standard setting is ultimately a state-level responsibility.

Key strategies

- **Challenging state content and student performance standards**. To ensure that states follow a rigorous process for continually upgrading and improving challenging content and performance standards, ED is peer-reviewing evidence submitted related to the process that states have used to adopt challenging standards; providing technical assistance to states through peer consultants, comprehensive assistance centers, and regional labs; and raising public awareness of standards and assessment issues.

- **Assessments aligned with high standards**. Using Title I and Goals 2000 grants, ED helps states meet the statutory requirement that they have assessment systems in place to measure student performance against state standards for at least two core subjects by 2000-01.

- **Help students with special needs meet high standards**. ED is helping states make assessments inclusive of students with limited English proficiency (LEP) and special needs ensuring that states include students with limited proficiency in English and students with disabilities in their accountability systems through appropriate accommodations on assessments; and developing model alternative assessments for states to use when students cannot be accommodated in the regular assessment program.

- **Reauthorization of ESEA.** ED is developing reauthorization proposals that will build the capacity of schools and teachers to deliver challenging curriculum and engaging instruction aligned to high standards. These proposals include promoting staff development to ensure that teachers have the knowledge and skills necessary to help all students meet high standards and using technology to support student learning.

Selected Accomplishments

Recognition by GAO for Goals 2000 contribution to standards-based reform efforts

- A 1998 report by the General Accounting Office on the activities of Goals 2000 praises the program for its work in helping states and districts implement standards-based reform. The report notes, "Many state officials report that Goals 2000 has been a significant factor in promoting their education reform efforts and, in several cases, was a catalyst for some aspect of the state's reform movement. State and local officials said that Goals 2000 funding provided valuable assistance and that, without this funding, some reform efforts either would not have been accomplished or would not have been accomplished as quickly."

Progress on state content standards

- 48 states plus Puerto Rico and the District of Columbia have developed state content standards. One state is in the process of developing state content standards and in the other remaining state, districts are responsible for developing standards that meet the state's criteria.

Focused assistance on performance standards

- The Department of Education (ED) is helping states develop performance standards by supporting teams of peer consultants to work with the states. The peer consultants convene Title I, assessment, and other state officials and experts to clarify issues, give technical assistance, and help develop a timeline for the implementation of standards. The peer consultant teams, made up of state and local experts in the field, assisted 7 states in 1998.

- ED published a handbook on performance standards developed by a collaboration of about 20 states called the State Collaborative on Assessments and Student Standards (SCASS), who are working together through the Council of Chief State School Officers on standards and assessment issues. The handbook has been broadly disseminated and is being used as a guide for several workshops the Department is holding for states facing challenges in putting performance standards in place. The handbook provides state policymakers, assessment directors, and teachers with detailed information on the process of developing performance standards.

Coordination with other federal agencies

- **National Science Foundation.** ED is building on the math and science activities funded by the National Science Foundation, and is working with NSF to learn from and build upon the systemic initiatives.
- **National Education Goals Panel.** ED is working with National Education Goals Panel as well as various organizations and associations to promote strategies to implement standards in the classroom.
- **Department of Defense.** ED is providing opportunities for interagency collaboration on standards issues. For example, the Department of Defense is represented on the Department of Education's Standards and Accountability Team.
- **Department of Interior.** ED is working with Bureau of Indian Affairs to develop standards and assessments for the Bureau's schools and to ensure that programs are implemented to help Indian students reach challenging standards.
- **National Academy of Sciences.** ED is working with the National Academy of Sciences to disseminate information on state-of-the-art assessment techniques.

Programs supporting this objective

Grants

- Goals 2000
- Title I Grants to States for Disadvantaged Children
- Fund for the Improvement of Education
- School-to-Work Opportunities
- IDEA: State Grants (Part B)
- IDEA: State Improvement Grants (Part D)
- Eisenhower Professional Development
- Comprehensive School Reform Demonstration

Technical assistance and dissemination

- Comprehensive Regional Assistance Centers Eisenhower Regional Consortia
- Fund for the Improvement of Education
- Regional Educational Laboratories
- Parent Information Centers (IDEA Part D)
- National Dissemination Activities

Research and demonstration

- Comprehensive School Reform Demonstration
- National Education Research Institutes (Student Achievement Institute)
- IDEA Research and Innovation

Performance indicators and charts

State progress for Goals 2000 is measured through annual Goals 2000 state reports and ED's evaluation of the state implementation of Goals 2000 and ESEA programs. ED has developed a number of indicators to track improvements in instruction based on these new standards and assessments, including the implementation of research-based approaches in Title I schools and the progress of students, particularly those in high-poverty Title I schools, in meeting challenging standards.

Indicator 8. By the end of the 1997-98 school year, all states will have challenging content and student performance standards in place for two or more core subjects.

Indicator background and context. States are expected to submit evidence that standards are in place and that states followed a rigorous process in adopting their standards. ED has approved the development process for content standards in 48 states, the District of Columbia, and Puerto Rico for content standards (see Figure 13). One additional state is still in the process of developing state content standards and in the other, standards are being developed at the district level.

Although states were required to have content and performance standards completed in the 1997-98 school year, ED anticipates that many states' student performance standards will not be completed until 2000-01 because many states are developing performance standards at the same time as final assessments, which aren't required to be in place until that time. To date, 21 states and Puerto Rico have completed the development of both content and student performance standards (see Figure 14).

Figure 13

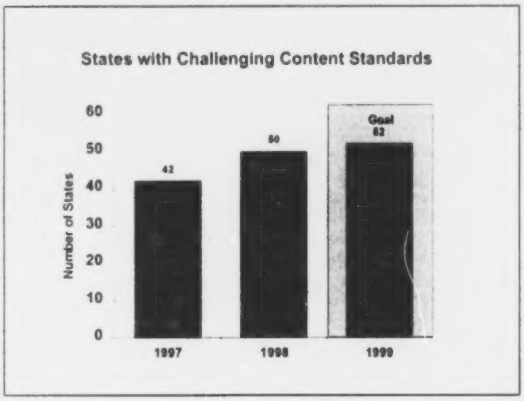
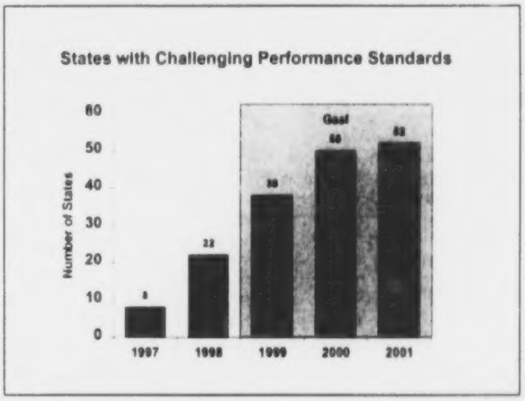


Figure 14



Limitations of the data. Although states are expected to submit evidence that standards are in place, states are not required to submit their standards to the U.S. Department of Education. Therefore, ED can only evaluate whether states used a challenging process in developing and adopting standards, not the quality of the standards themselves.

Verification/validation of measures. Independent validation of state-reported information on the quality of state content and performance standards has been obtained through peer reviews of state-reported processes and information and by reviews of standards by non-governmental organizations, such as the Council for Basic Education, Achieve, the American Federation of Teachers, and the Fordham Foundation. Program evaluations will independently assess the quality of evidence which states submit to demonstrate that their standards are challenging.

Data source. Department of Education review of evidence submitted by states to demonstrate their standards and assessment development process, ongoing.

Indicator 9. By 2001, all states will have assessments aligned to challenging content and performance standards for two or more core subjects.

Indicator background and context. States are required by Title I to have assessments aligned with challenging standards in place by the 2000-01 school year. Final assessments must include all students, and states must be able to disaggregate performance by student groups. A review of state progress on implementing IASA requirements indicates that as of 1997, 14 states provided evidence that they have in place assessments aligned to state content standards in place (see Figure 15). However, no state has formally notified ED that it has all components of its final assessment in place.

Figure 15

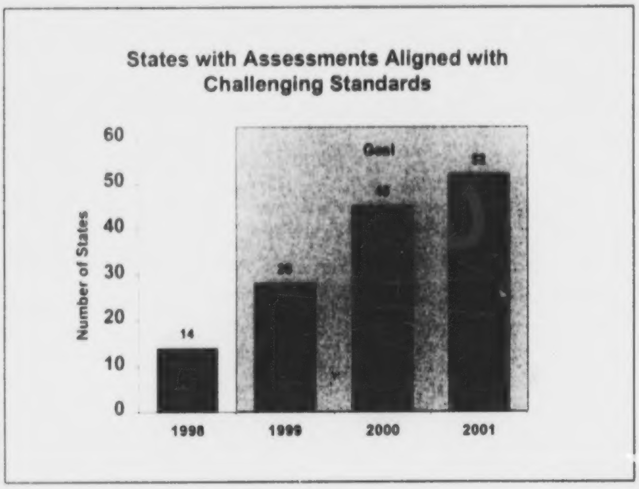
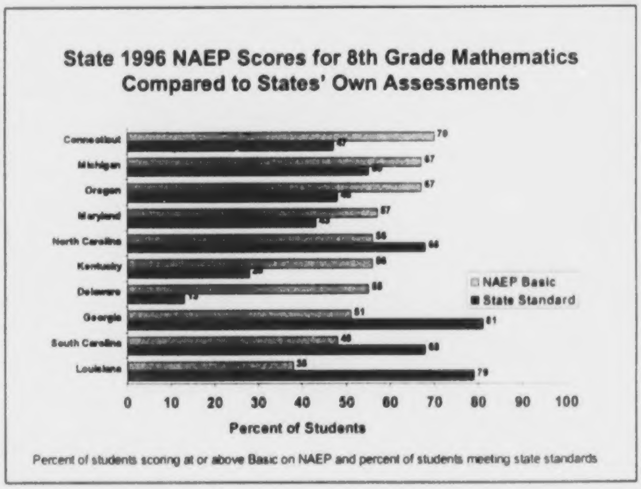


Figure 16



Percent of students scoring at or above Basic on NAEP and percent of students meeting state standards

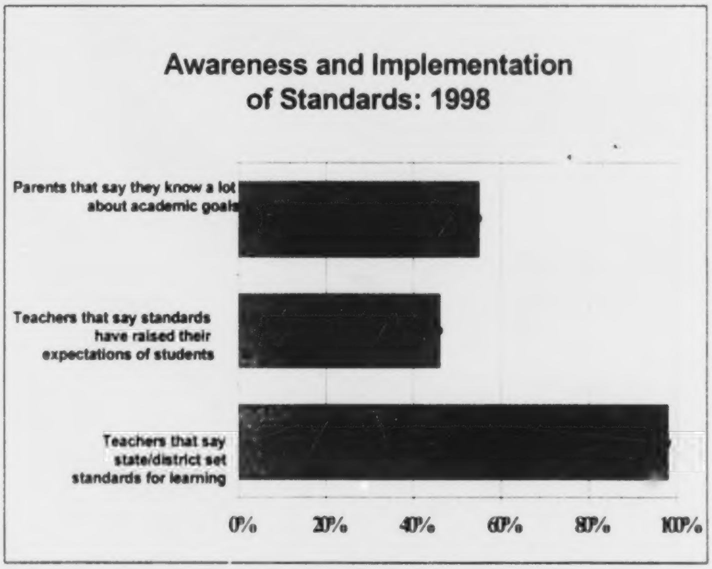
Limitations of the data. ED may not validate aligned standards and assessment systems and relies on self-reported information and a review of the process for adopting standards and assessments.
Verification/validation of measures. A comparison of student achievement on the National Assessment of Educational Progress (NAEP) with achievement on various state assessments indicates reason for concern about the rigor of state performance standards and assessments (see Figure 16). States' own performance measures may be more or less rigorous when compared with an independent assessment such as NAEP. However, note that the content of the NAEP assessment may not align with a State's own content and performance standards.
Data source(s). Schneck and Carlson, "Standards-Based Assessment and Accountability in American Education: A Report on States' Progress (draft)" 1998; National Center for Education Statistics.

BEST COPY AVAILABLE

Indicator 10. By 2002, increasing percentages of the public and parents will be aware of the importance of challenging academic standards for all children, including at least the majority of parents from low-income families.

Indicator background and context. The initial challenge for states is to develop challenging content and student performance standards. For students to reach higher levels of achievement, these standards must be implemented in the classroom; and the public, especially parents, must be made aware of standards. This indicator measures views of teachers about standards in the classroom and parental awareness of goals and standards. According to a 1998 survey by Public Agenda, a majority of teachers and parents are familiar with efforts to raise standards for their students (see Figure 17).

Figure 17



Limitations of the data. ED is preparing a survey instrument that will serve as a valid and consistent source for updating this indicator, including for awareness of standards among low-income families.
Verification/validation of performance measures: Public awareness and opinions on standards will be obtained through national polls that meet acceptable statistical standards.
Data source. Public Agenda, 1998.

Objective 1.2: Every state has a school-to-work system that increases student achievement, improves technical skills, and broadens career opportunities for all.

Context: Researchers, educators, employers, and policymakers have sought ways to make education relevant to students' future careers, to adapt instruction to the ways in which students learn best, and to ensure that students learn the habits and skills that employers value. By adding meaningful context from the world of work, educators hope to engage the interest and intellect of students and help them learn more effectively. Whether learning by doing is accomplished at school or in a work setting, school-to-work (STW) systems seek to improve career prospects and academic achievement in high school--and thereby boost enrollment in postsecondary education and increase the likelihood of obtaining high-skill, high-wage employment.

The School-to-Work Opportunities Act, signed into law in 1994, aims to improve learning by connecting what goes on in the classroom to future careers and to real work situations and to increase student access to opportunities for postsecondary education and advanced training. The recently reauthorized Carl D. Perkins Vocational and Applied Technology Education program will help support activities that sustain and enhance STW systems once the STW Act sunsets in 2001.

External factors: Implementing school-to-work systems is a long-term effort that will require state and local support beyond the period of the initial federal investment for system-building. The Departments of Education and Labor are working closely with states to develop ways to sustain promising STW activities after federal funding ends.

Key strategies

- **Curriculum improvement.** The Department is requesting $1.03 billion for a reauthorized Vocational Education State Grants program that supports state and local efforts to integrate vocational and academic education and to link secondary and postsecondary education.

- **Support high academic achievement and transition to postsecondary education.** The FY 2000 request includes $17.5 million for national activities, including projects to develop career clusters with career-related curricula, standards, and certificates in the areas of high-demand occupations. The Building Linkages Project will develop curriculum around broad industry clusters, which help integrate academic requirements and industry requirements as presented in industry-recognized skill standards.

- **Support state and local development of School-to-Work systems**. The Administration requests $55 million for the School-to-Work Opportunities initiative in the FY 2000 Department of Education budget, with an identical amount requested in the Department of Labor budget. FY 2000 funds will complete federal support for 25 State Implementation Grants, 60 Urban/Rural Opportunities Grants, and grants for the territories and Indian youth.

- **Support high school reform**. ED will continue support for the New American High Schools and New Urban High School initiatives, which help sustain STW by creating organizational flexibility and promoting high academic standards.

- **Strengthen accountability.** ED will work with state vocational education agencies and state school-to-work partnerships to improve the quality and use of state accountability systems. Currently, seven states are participating in a pilot project to establish a set of core performance measures that can be used both for local program improvement and national accountability.

- **Involve schools, colleges, and employers in building School-to-Work systems and stronger vocational education programs.** Key approaches include these:
  - Get high schools, postsecondary institutions, and adult high schools involved in School-to-Work systems and vocational education by sponsoring a national information center; creating networks that include educators, employers, and other key stakeholder groups; and sponsoring efforts to align postsecondary admissions policies with new methods of assessing high school student performance.
  - Build strong employer participation in School-to-Work by targeting outreach activities to employers and their organizations.
  - Promote professional development by helping colleges of education incorporate school-to-work elements in their curricula, and by supporting teacher training efforts aimed at improving the skills of teachers in using contextual learning approaches for instruction in basic and technical skills.

Selected Accomplishments

School-to-Work (STW) are in all states and are serving special populations

- As of October 1, 1998, STW implementation grants had been awarded to all 50 states, the District of Columbia, and Puerto Rico. STW implementation also continues in the territories, Urban/Rural Opportunities areas, and in projects that serve Native Americans.

One-fourth of STW programs are part of collaborative reform efforts

- In increasing numbers of states, School-to-Work is being combined with other education reform efforts to raise academic achievement for all students. About one-fourth of STW partnerships are built upon collaborative efforts that include Title I, Goals 2000, Tech-Prep and workforce development boards.

More students are connecting academic courses with career interests

- An independent evaluation of 8 states implementing School-to-Work systems found that between 1996 and 1998, more students saw a connection between their academic coursework and career interests, with particularly large increases among black students and the non-college bound.

Coordination with other federal agencies

- **Department of Labor**. The Departments of Education and Labor jointly administer the School-to-Work program and will improve the management of this program by aligning grant-making, audit, technical assistance, budget, and performance reporting functions.

- **Job Corps**. Job Corps Centers are incorporating tenets of STW to improve the effectiveness of services for out-of-school youth.

Programs supporting this objective

State grant programs

- School-to-Work Opportunities
- State Grants for Vocational Education
- Tech-Prep Education
- IDEA Grants to States
- Title I

Research, development, and technical assistance

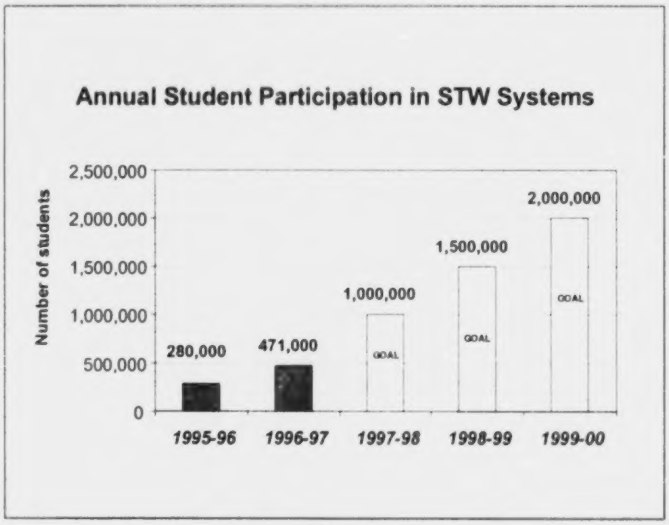
- IDEA Research and Innovation
- Vocational Education National Programs, including the National Center for Research on Vocational Education
- School-to-Work National Program

Performance indicators and charts

Indicator 11. By fall 2000, 2 million youth will participate annually in STW.

Indicator background and context. High school participation rates increased from 280,000 youth in 1996 to 472,000 in 1997 (see Figure 18). "Participants" are defined as students who take integrated academic and vocational coursework *and* work-based learning.

Figure 18

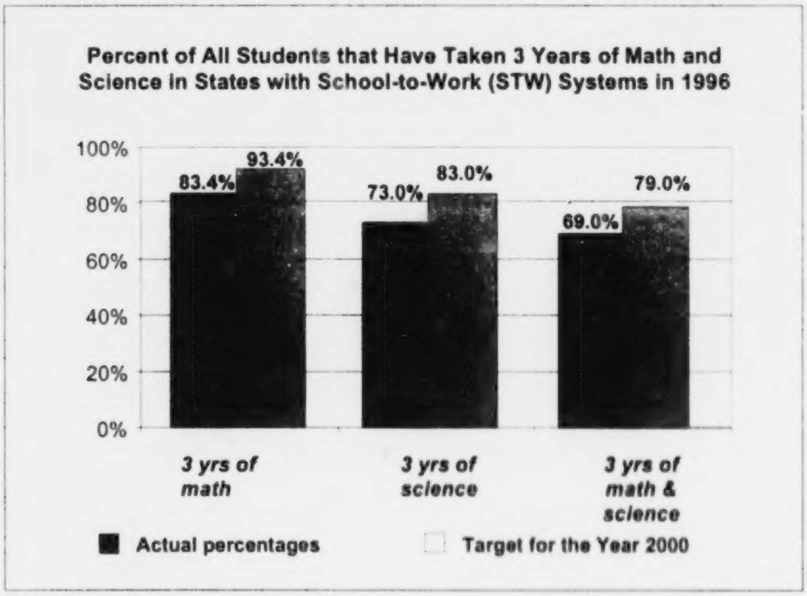


Limitations of the data. States may differ in their definition of vocational coursework.
Verification/validation of measures. Case studies in four states are under way to examine the process by which local partnerships gather the information reported in their progress reports.
Data source. Grantee progress reports; next update in 1999 for 1997/98 school year.

Indicator 12. By fall 2000, the percentage of high school graduates from STW systems completing 3 years of math and 3 years of science will increase by 10 percent.

Indicator background/context. In 1996, 83 percent of high school seniors graduating from STW systems completed 3 years of math, 73 percent completed 3 years of science, and 69 percent 3 years of math and science.

Figure 19



Limitations of the data. Results based on high school transcripts for sample of high school students in 8 states.

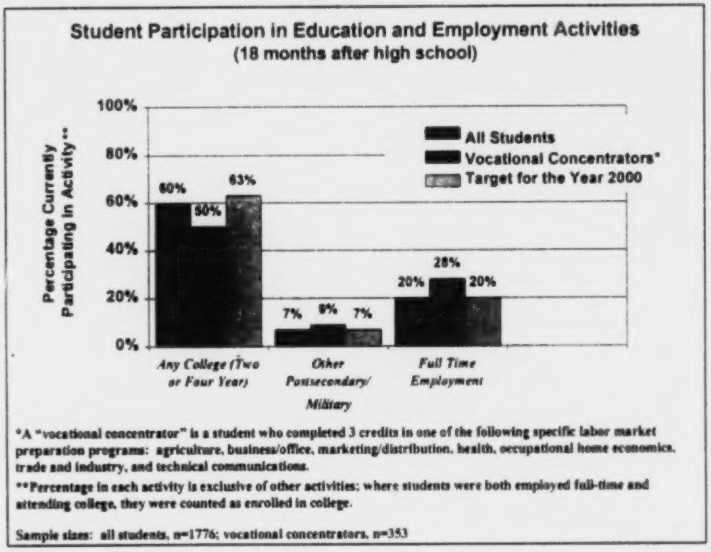
Verification/validation of measures. Transcripts are a rigorous method for collecting information on coursework, although course titles may differ across communities for similar courses.

Data source. Student transcripts from National Evaluation of School-to-Work Implementation, Mathematica Policy Research; next update in 1999 for 1998 high school graduates.

Indicator 13. By fall 2000, the percentage of high school graduates, including vocational concentrators, who make a successful transition into employment, further education, or the military will increase to 90 percent.

Indicator background and context. Eighteen months after graduating from high schools that participate in school-to-work systems, 60 percent of 1996 graduates were enrolled in two-year or four-year college, 7 percent were in other postsecondary training programs or the military, and 20 percent were employed full-time. Overall, 87 percent of all students were enrolled in post-secondary education or the military or were employed full-time. A similar proportion of vocational concentrators made successful transitions, although these students were less likely to be enrolled in college and more likely to be employed full-time.

Figure 20


Student Participation in Education and Employment Activities
(18 months after high school)

*A "vocational concentrator" is a student who completed 3 credits in one of the following specific labor market preparation programs: agriculture, business/office, marketing/distribution, health, occupational home economics, trade and industry, and technical communications.

**Percentage in each activity is exclusive of other activities; where students were both employed full-time and attending college, they were counted as enrolled in college.

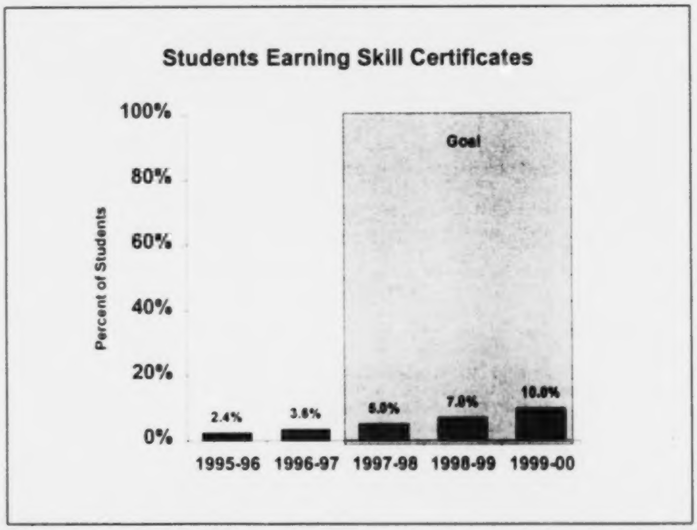
Sample sizes: all students, n=1776; vocational concentrators, n=353

Limitations of data. Results based on high school transcripts for sample of high school students in 8 states.
Verification/validation of measures. Transcripts are a rigorous method for collecting information on coursework, although course titles may differ across communities for similar courses.
Data Source. Student surveys from National Evaluation of School-to-Work Implementation, Mathematica Policy Research; next update in 2000 for 1998 high school graduates.

Indicator 14. By fall 2000, 10 percent of students in local STW systems will earn skill certificates.

Indicator background/ context. The percentage of high school seniors who had earned skill certificates remained unchanged—2.4% in 1996 and 3.6% in 1997 (see Figure 21).

Figure 21


Students Earning Skill Certificates

BEST COPY AVAILABLE

Limitations of data. Based on aggregate estimates of STW partnerships.
Verification/validation of the data. Survey subject to rigorous data quality procedures.
Data source. Local partnership surveys from National Evaluation of School-to-Work Implementation, Mathematica Policy Research; next update 1999 for 1997-98 school year.

Indicator 15. By fall 2000, 40 percent of high schools will have implemented key STW concepts.

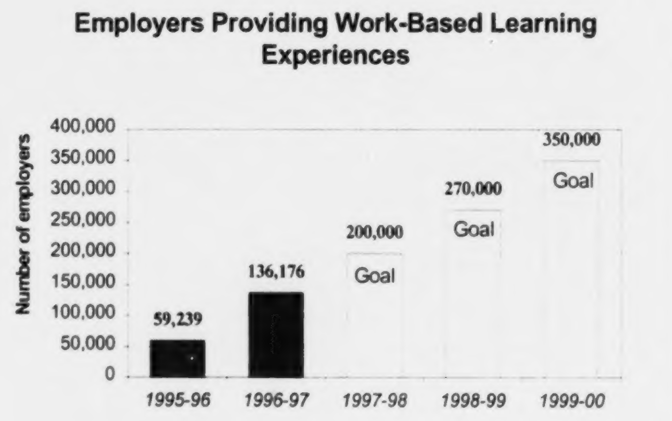
Indicator background/context. In 1996, a national survey of school administrators reported that 30 percent of high schools were implementing more "school-based," "work-based," and "connecting" STW activities than the typical high school. Other results from an independent evaluation found no change between 1996 and 1997 in the percentage of high schools that offered career major programs coupled with work-based learning (25 percent).

Limitations of data. Surveys count the frequency with which schools offer STW activities even if few students participate.
Verification/validation of the data. Survey subject to rigorous data quality control procedures..
Data Source. National Longitudinal Survey of Youth, Survey of School Administrators; next update in 2001. Local partnership surveys from National Evaluation of School-to-Work Implementation, Mathematica Policy Research; next update in 1999 for 1997/98 school year.

Indicator 16. By fall 2000, 350,000 employers participating in STW systems will offer work-based learning opportunities.

Indicator background/context. The number of employers providing work-based learning opportunities for students doubled—from 59,239 in 1996 to 136,176 in 1997 (see Figure 22).

Figure 22



Limitations of data. The nature of work-based learning experiences may differ considerably across employers.

Verification/validation of measures. Case studies in four states are under way to examine the process by which local partnerships gather the information reported in their progress reports.

Data Source. Grantee progress reports; next update in 1999 for 1997/98 school year.

Objective 1.3: Schools are strong, safe, disciplined, and drug free.

Context: Schools must provide a safe and drug-free environment if students are to learn effectively. Drug and violence prevention plays a critical role in ensuring such environments. School modernization also contributes to strong, safe schools by creating safe environments that support learning.

The Department of Education (ED) is pursuing a variety of strategies, including efforts to identify, evaluate, and disseminate effective approaches, technical assistance to states and school districts, support for after-school programs and the hiring of staff to assist schools with programming.

ED is setting high standards to promote the use of effective strategies by grant recipients and is reporting on school safety information to encourage awareness and improved prevention efforts. In addition, ED continues to coordinate and collaborate with the efforts of other federal agencies. Finally, ED is proposing legislative changes to improve the *Safe and Drug-Free Schools* program. Through all these means, ED supports and encourages effective action at the federal, state, and local levels.

External factors: Drug use and violence involving young people are vast and complex problems affected by a host of factors, only some of which are under schools' control. These factors include societal and parental attitudes; peer pressure; activities of organized crime and gangs; individual, family, and community risk and protective factors; advertising and other media images of drug use and violence; and government efforts at the local, state, national, and international levels. In addition, these factors play out very differently from one locale to another, making it more difficult for federal actions to respond effectively to local needs. Moreover, it is more difficult to influence local policy and implementation through a formula grant program (like *Safe and Drug-Free Schools* state grants) than through a discretionary program.

The success of ED's efforts to improve implementation and outcomes for this objective depends on being able to target resources to areas of greatest need with prevention strategies of high quality. ED has made several legislative proposals to support these efforts in reauthorization.

Key strategies

- **Principles of Effectiveness**.
  - To promote the *Safe and Drug Free Schools* program's Principles of Effectiveness through evaluations and technical assistance to ensure state and district use of effective prevention strategies.
  - To monitor state implementation of the Principles of Effectiveness and to highlight states that are particularly successful in implementing the Principles and providing technical assistance to districts.
  - To utilize an Expert Review Panel to identify effective drug and violence prevention strategies.

- **Targeted Grants**. To continue to target $60 million in competitive grants (scheduled for FY 1999 award) under the *Safe and Drug-Free Schools National Programs* through the "Safe Schools/Healthy Students" program. This interagency effort, jointly funded by ED, the Department of Health and Human Services (HHS), and the Department of Justice (DOJ), will assist schools and communities to develop and implement comprehensive, community-wide strategies for creating safe and drug-free schools and for promoting healthy childhood development, so that students can grow and thrive without resorting to violence or other destructive behaviors.

- **Coordinators.** To implement a $50 million *Safe and Drug-Free Schools* initiative to support the hiring of program coordinators to serve middle schools throughout the nation. These coordinators will assess drug and violence problems, identify effective, research-based strategies to address those problems, assist staff with program implementation, and build new links with community-based prevention programs.

- **Technical Assistance, Demonstration and Replication of Effective Elements and Programs**
  - To continue this activity, begun in 1998, to provide targeted technical assistance and training to selected large urban districts in using their *Safe and Drug-Free Schools* funds effectively.
  - To identify effective prevention strategies by continuing the multi-year demonstration program begun in 1998 to evaluate, under rigorous methodological conditions, the most promising drug and violence prevention program and strategies in the country.
  - To replicate effective programs in additional schools and communities by continuing grants to implement prevention programs that have already demonstrated sustained reductions in youth drug use and violent behavior and that include a rigorous evaluation component.

- **Safe and Drug-Free Schools Recognition Program**. To identify and disseminate information about schools that are implementing exemplary drug and violence prevention approaches.

- **Early Warning, Timely Response**. To update ED's *Early Warning, Timely Response* guide, designed to provide technical assistance to educators in preventing violent behavior by identifying and providing help early to troubled students.

- **Annual Report on School Safety**. To collaborate with the Department of Justice to continue to issue the *Annual Report on School Safety* to encourage public awareness of school safety issues and to encourage schools and communities to monitor safety and improve prevention strategies.

Selected Accomplishments

Promoted the use of effective drug and violence prevention strategies by states and districts by:

- Establishing and promoting the Department's Safe and Drug-Free Schools Program Principles of Effectiveness based on research, to ensure that grantees use high-quality prevention approaches;
- Establishing an Expert Review Panel to identify effective drug and violence prevention strategies;
- Reestablishing the Safe and Drug-Free School Recognition Program to identify schools with exemplary prevention programs; and
- Awarding cooperative agreements to rigorously evaluate promising drug and violence prevention strategies.

Promoted public awareness of school safety issues.

- Encouraged schools and communities to monitor safety and improve prevention strategies by issuing the *1998 Annual Report on School Safety* (in collaboration with the Department of Justice) and *Early Warning, Timely Response: A Guide to Safe Schools* (the guide includes issues related to students with disabilities).

Improved information on prevalence of students' drug abuse and violence.

- Improved the capacity of states and districts to collect and analyze information on alcohol and drug use and violent behavior by awarding grants to improve the quality of state data collection systems.

- **Mentoring Initiative**. With the Department of Health and Human Services (HHS), to implement a multiyear initiative to recruit and train adult mentors to help at-risk youth avoid drug use and violence.

- **After-school Programs.**
    - To continue to expand the *21st Century Community Learning Centers* program to provide 4,000 programs—serving about one million students—to keep schools open as safe havens and to provide extended learning opportunities for the whole community. The Centers will work to strengthen individual and community achievement while reducing individual and community violence and substance use.
    - To continue to partner with the C.S. Mott Foundation—which is making a five-year, $55 million private donation to the *21st Century Community Learning Center* program—to provide extensive technical assistance to the grantees through semiannual and annual conferences and regional training centers.

- **Changes in legislation or regulations being proposed with the FY 2000 budget in order to strengthen the foregoing strategies**. For example:
    - Increased competition and improved targeting. SDFSCA state grants would target the 30 percent of funds for highest need districts competitively based on district need and program quality, thus improving the quality of how funds for these districts are used.
    - Project SERV. Under this proposed initiative, ED, in collaboration with DOJ, HHS, and the Federal Emergency Management Administration, will provide resources to districts and communities that experience a major crisis in a school to meet unanticipated needs such as crisis counseling for students and staff.
    - State Capacity Grants. This initiative will award funds to states or multi-state consortia for activities to enhance states' capacity to support districts in implementing high-quality, research-based drug and violence prevention programs.
    - Alternative Education for Students Expelled from School. These funds would be used to establish, expand, and improve model "alternatives to expulsion" programs that include appropriate interventions and education to help students who violate the Gun-Free Schools Act become responsible, contributing members of society rather than leaving them unsupervised in their communities.

Use of tax expenditures

Support school modernization to create a safe environment in which children can learn. Provide federal tax credits to approximate the interest on nearly $25 billion in school modernization bonds to construct or renovate public school facilities. The National Clearinghouse for Educational Facilities collects, evaluates, and disseminates information on K-12 school planning, design, construction, finance, and maintenance.

Coordination with other federal agencies

- **Data.** Continue to produce the *Annual Report on School Safety*, with the Department of Justice (DOJ); make maximum use of other agencies' data, e.g., Department of Health and Human Services (HHS) [Monitoring the Future, National Institute on Drug Abuse (NIDA); Youth Risk Behavior Surveillance System, Centers for Disease Control] and DOJ [National Crime Victimization Survey].

- **Evaluation**. Continue to cooperate on evaluation projects with DOJ [e.g., National Study on School Violence, being conducted in cooperation with the National Institute for Justice-sponsored National Study of Delinquency Prevention in Schools] and HHS [e.g., School Health Policies and Program's Study, for which ED is providing consultation].

- **Prevention activities**. Continue to pursue joint projects to: prevent truancy and youth hate crimes [with DOJ's Office of Juvenile Justice and Delinquency Prevention (OJJDP)]; provide training and technical assistance to educators, communities, and states [with OJJDP, DOJ's Office for Victims of Crimes, HHS's Center for Substance Abuse Prevention, HHS's Maternal and Child Health Bureau and NIDA], support the Secretary's Initiative on Youth Substance Abuse Prevention [with HHS's Substance Abuse and Mental Health Services Administration]; support initiatives to curb binge drinking on college campuses [with NIAAA]; implement and evaluate drug and violence prevention interventions for high-risk youth through grade 10 and their families [with HHS's National Institute of Mental Health]; and support the coordinating council on comprehensive school health [with HHS's Centers for Disease Control].

Programs and funding supporting this objective

Grants for services

- Safe and Drug-Free Schools State Grants program
- Safe and Drug-Free Schools National Programs
- Safe and Drug-Free Schools Coordinators
- 21st Century Community Learning Centers
- Impact Aid

Statistics

- National Center for Education Statistics

Development, dissemination, and technical assistance

- Safe and Drug-Free Schools National Programs
- Comprehensive regional assistance centers

Performance indicators and charts

ED is monitoring progress on this objective in terms of the national trends in student drug and alcohol use, including in-school use, and attitudes toward drugs and alcohol as precursors to behavior, as well as national trends in student victimization and violent incidents in schools. ED is also focusing on indicators of the quality of drug and violence prevention programs as a result of problems identified by evaluations of the antecedent Drug-Free Schools and Communities Act.

Indicator 17. By 2000, reduce the prevalence of past-month use of illicit drugs and alcohol among youth by 20% as measured against the 1996 base year [Office of National Drug Control Policy (ONDCP) target]. Recent increasing rates of alcohol and drug use (alcohol, marijuana, and tobacco) among school-age children will slow and begin to fall by 2000.

Indicator background and context. This indicator provides a national context for the school-based prevention efforts supported by ED. Although rates of student drug use have shown increases in recent years, 1998 *Monitoring the Future* data indicate that use of alcohol and drugs have begun to level off. Figure 23 shows use of any illicit drug other than alcohol, while Figure 24 shows alcohol use, reported by students for the 30-day period prior to the survey.

Figure 23

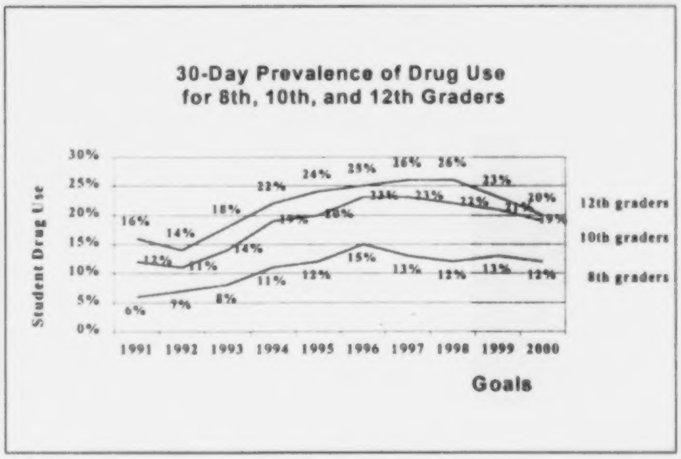
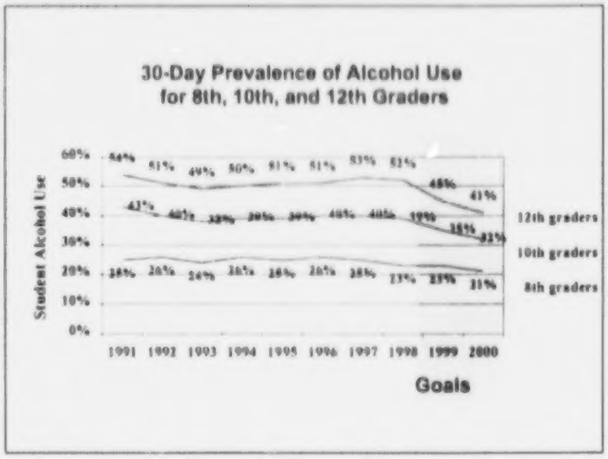


Figure 24

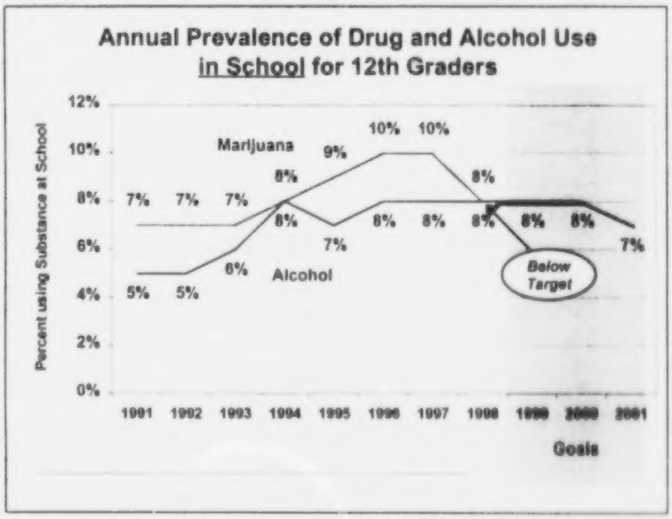


Limitations of the data: Based on student self-reports.
Verification/validation of measures: Data will be obtained from rigorously designed and nationally representative independent data collections, such as *Monitoring the Future* (University of Michigan/HHS).
Data source(s). *Monitoring the Future*, 1991-1998; next update: annual.

Indicator 18. Rates of alcohol and drug use in schools will begin to fall by 2001.

Indicator background and context. The rates of use *in schools* (shown in Figure 25) parallel, but are much lower than, *overall* use rates (that is, use in any location). *Overall* annual 12th-grade use rates (not shown in a figure) for 1998: alcohol, 74%; marijuana, 38%. In 1998, the prevalence of marijuana in school dropped below the targets projected for subsequent years. The targets have been changed to reflect this improvement.

Figure 25



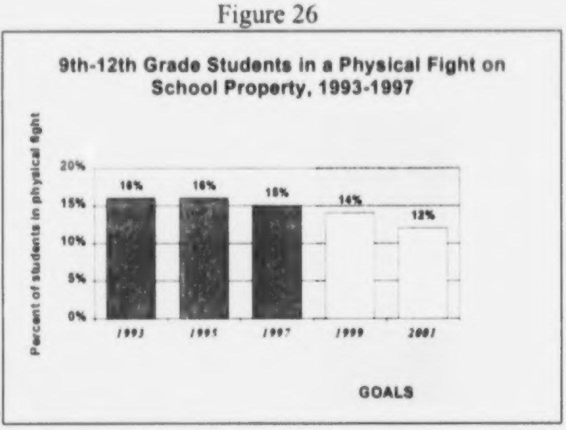
Limitations of the data: Based on student self-reports. Figure 25 shows annual use rates, which are not comparable with the 30-day rates shown in Figures 23 and 24. 42

Verification/validation of measures: Data will be obtained from rigorously designed and nationally representative independent data collections, such as *Monitoring the Future* (University of Michigan/HHS).
Data source(s). *Monitoring the Future*, 1991-1998; next update: annual.

Indicator 19. The number of criminal and violent incidents in schools by students will continually decrease between now and 2001.

Indicator background and context. Student-reported rates of victimization provide one measure of school safety; these rates may differ from incident reports provided by administrators. Although long-term trend data are not available, data for recent years suggest that student victimization rates are currently relatively stable.

Figure 26



Limitations of the data. Based on student self-reports. While the most recent data show the indicator moving in the right direction, the change from 1993 to 1997 is not statistically significant (see Figure 26).
Verification/validation of measures: Data are obtained from rigorously designed and nationally representative independent data collections, such as the *Youth Risk Behavior Surveillance System* (CDC).
Data source(s). *Youth Risk Behavior Surveillance System*, 1993-1997. Data are collected biennially.

Indicator 20. By 1999, all school district participating in the Safe and Drug-Free Schools program will use prevention programs based on the ED's Principles of Effectiveness.

Indicator background and context. ED has developed Principles of Effectiveness for the SDFSCA program to ensure that states and districts implement effective prevention approaches. The Principles took effect July 1, 1998, and apply to all SDFSCA grantees.

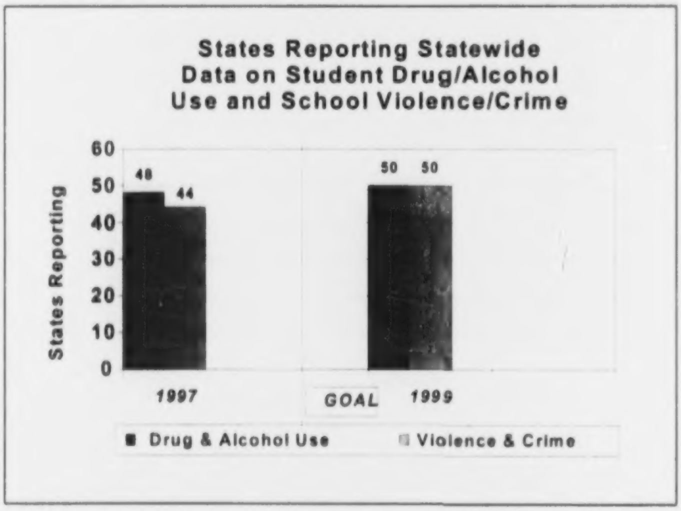
Limitations of the data. No data are currently available on the number of district implementing the Principles of Effectiveness. ED began collecting this information starting in FY 1998 through district surveys and state performance reports. An evaluation will examine the quality of implementation of the Principles during the first years they are in effect.
Verification/validation of measures: Evaluation studies to examine the implementation of Principle of Effectiveness sponsored by ED include rigorous methodologies, are conducted by an independent contractor, and include technical working groups to provide independent consultation.

Data source(s). Study of Local Education Agency Activities (data available 1999).

Indicator 21. By 1999, all states will conduct periodic statewide surveys or collect statewide data on alcohol and drug use of students and incidents of crime and violence in schools.

Indicator background and context. Because drug and alcohol use and violence involving youth vary from one locale to another, state-level data provide the public, policymakers, and program planners with important information about existing needs and the effectiveness of prevention approaches.

Figure 27



Limitations of the data. Figure 27 is based on a review of state performance reports for 1996-97. States that were able to furnish data that responded to any of the questions posed in the reporting form related to data about incidence prevalence of drug use and violence were counted, although not all states could furnish all of the data requested. An additional review is being conducted to determine the number of states that reported information on all critical items.

Verification/validation of measures: An evaluation will examine State procedures for collecting Statewide data against criteria of data quality.

Data source(s). Internal review of program files.

Indicator 22. The percentage of teachers who are trained to deal with discipline problems in the classroom will increase significantly by 2000.

Indicator background and context. Relatively minor school discipline problems can escalate into more serious incidents. Teachers who are trained to deal with discipline effectively can help prevent school violence. See data source for first year of data availability.

Limitations of the data: Will be based on teacher self-reports.

Verification/validation of measures: No validation measures are planned at this time.

Data source(s). An item is being added to the Schools and Staffing Survey that asks whether teachers have received training on student discipline and classroom management. Baseline data will be available concerning school year 1999-2000.

Objective 1.4: A talented and dedicated teacher is in every classroom in America.

Context: Teachers' knowledge and skill make a crucial difference in what students learn. However, only 36 percent of teachers of the core academic subjects feel very well prepared to implement state or district standards in their classrooms. Recent research has also demonstrated that teacher quality is a strong predictor of student success. The U.S. Department of Education (ED) addresses this objective through six sets of strategies: (1) improving teacher recruitment, preparation, and retention of new teachers; (2) supporting rigorous standards for new and experienced teachers; (3) strengthening professional development; (4) conducting research and disseminating information on teacher quality and accountability; (5) strengthening school leadership; and (6) building public awareness of the issues of quality as they apply to the teacher workforce.

External factors: Over 2 million teachers will need to be hired over the next decade because of normal turnover, increases in enrollment, and the retirement of veteran teachers. The pressure to hire large numbers of new teachers will make it difficult for states and districts to maintain their current standards for initial teacher certification, and will work against states' efforts to elevate those standards.

In addition, the strong economy and low unemployment rates mean that many teachers and teacher candidates can easily find higher-paying career opportunities outside education. As more highly skilled people are drawn to higher-pay fields, education may be attracting many workers with relatively weak academic skills. For example, in Massachusetts, 59 percent of prospective teachers recently failed the new test for initial teacher certification. Although questions remain about the rigor and validity of the test, the high failure rate may indicate the low skills of many students who hope to become teachers and a gap between the content and rigor of the teacher preparation programs and the knowledge and skills expected of new teachers.

Key strategies

The Department's proposal for the reauthorization of the Elementary and Secondary Education Act (ESEA) will include a program to "get standards into the classroom" by supporting high-quality, standards-based professional development for teachers. The proposal will also include a set-aside for professional development under Title I. Finally, the proposal will require states to report on a key set of accountability measures that will demonstrate improvements in the quality of the teaching force.

- **Improve teacher recruitment, preparation of future teachers, and retention of new teachers.**
  - ED will implement the three new Teacher Quality Enhancement Grant programs in Title II of the HEA in order to bring about fundamental improvements in teacher education at institutions of higher education, comprehensive teacher quality reforms at the state level, and new strategies for reducing shortages of qualified teachers in high-need areas. The Administration is requesting $115 million for this program in FY 2000.
  - ED will help create a National Job Bank to provide teachers with information on teaching vacancies in states and school districts nationwide and link prospective employers to a pool of potential new hires.
  - ED will implement the new $75 million Teacher Training in Technology program in order to build capacity at teacher preparation institutions to prepare tomorrow's teachers to integrate technology effectively into curriculum and instruction.

- ED is requesting funding for a national awards program for teacher preparation programs that are producing elementary teachers and secondary math teachers who have outstanding content knowledge and pedagogical skills. The awards program will be open to all kinds of programs – traditional pre-service programs as well as innovative, alternative certification programs. Impact on student achievement will be a major criterion for determining awards.

- The FY 2000 budget includes $1.4 billion in mandatory funds to continue a Class-Size Reduction Initiative that by 2005 would recruit and train 100,000 new teachers in order to help reduce class sizes in grades 1-3 to a nationwide average of 18.

Selected Accomplishments

New programs funded in the Higher Education Act

- In FY 1999, the Congress appropriated $75 million for Teacher Quality Enhancement Grants in Title II of the HEA, based on the Administration's proposal, focused on improving recruitment, preparation, licensing, and ongoing support of teachers. This is the first major federal investment in pre-service teacher education in 30 years.

National Board for Professional Teaching standards has substantial impact

- By November 1998, the number of National Board-certified teachers about doubled from the past year to 1,835 but the impact of the work of the NBPTS goes far beyond the number of Board-certified teachers. Many teachers consider the process to be the best professional development experience they have ever had. In addition, 63 teacher training programs are taking steps to restructure their curriculum or program structure based on the NBPTS standards. Standards have been completed in 21 of the 25 areas, and certification packages completed and available in 12 areas, which cover 62% of teachers.

Professional development program adopts results-based reporting

- States and districts that receive Eisenhower funds are now required to develop performance objectives and indicators that reflect their own reform efforts, while remaining consistent with the key elements in the national program objectives and indicators. This reporting system is outcome-oriented and tied to standards-based professional development. Preliminary reviews of the 1998 state reports reveal that states are moving toward reaching these objectives.

National awards program for model professional development

- ED conducted the second round of awards for exemplary professional development tied to increases in student achievement. The awards program is helping to change the conversation in schools about professional development. The program's evaluation has become a self-evaluation instrument for schools and districts. ED, its regional labs, and the National Staff Development Council feature past winners, and each award winner reports having been contacted for information by over 100 schools and districts. ED receives numerous requests for applications and technical assistance—evidence of a groundswell of interest in the field.

Coordination within the Department

- The Teacher Initiative has focused on improving coordination across Principle Offices and the seven priorities. The coordination has brought about two new collaborative efforts: launching of a new teacher preparation awards program and a faculty enhancement initiative for teacher education.

Awareness of the importance of teacher quality grows

- Partly as a result of the Department's outreach efforts, teacher quality is becoming one of the most important issues at the local, state, and national levels. The Chief State School Officers and the Education Commission of the states have made teacher quality their top issues. The State of American Education speech by the Secretary in February of 1999 highlighted teacher quality as a dominant theme.

- The Special Education Personnel Preparation program will focus on supporting and disseminating research-validated programs for preparing teachers of children with disabilities.

- The budget includes $18 million for the continuation and expansion of the Troops to Teachers program to recruit and prepare transitioning military personnel and other professionals as teachers.

- The budget includes a request for $10 million for an American Indian Teacher Corps that will provide training support over five years, to 1,000 Alaskan Natives and Native Americans who are committed to teaching in schools with high concentrations of Native American children.

- **Develop and support rigorous standards for teachers.**
  - Provide ongoing support for the National Board for Professional Teaching Standards (NBPTS) and the Interstate New Teacher Assessment and Support Consortium (INTASC). The NBPTS establishes rigorous standards and assessments for certifying accomplished teachers. INTASC, a program of the Council of Chief State School Officers, is a consortium of state educational agencies, higher education institutions, and national educational organizations dedicated to reform in education, licensing, and ongoing professional development of teachers.

  - ED will support a study by the National Academy of Sciences that will analyze the current state of teacher testing, recommend ways to improve existing tests, and suggest viable alternatives.

- **Strengthen professional development.**
  - ED will embed its Mission and Principles of High-Quality Professional Development in all appropriate legislation and disseminate information on effective policies and practices to the field.

  - Through the National Awards Program for Model Professional Development, ED will promote results-oriented professional development that focuses on improving student achievement. In collaboration with the National Staff Development Council, ED will aggressively disseminate the Principles of High-Quality Professional Development and summaries of award-winning professional development programs through targeted mailings and conferences such as the annual Improving America's Schools conference.

  - The $335 million request for Eisenhower Professional Development State Grants would support intensive, high-quality professional development aimed at ensuring that all teachers have the expertise needed to prepare their students to meet high standards.

  - The $75 million request for Bilingual Education Professional Development, a 50 percent increase, would help meet the critical need for fully certified bilingual education and ESL teachers.

  - The Department of Education is requesting an increase of $10 million for the State Improvement program, which is designed to assist states in addressing their needs for personnel to improve outcomes for children with disabilities.

  - The Technology Literacy Challenge Fund ($450 million) will help States and local districts to provide educators with sustained, high-quality training in the effective use of educational technology.

- **Support research, development, and dissemination of information on teacher quality and accountability.**
  - Implement the accountability requirements outlined in Title II of the Higher Education Amendments (HEA) of 1998 by collecting data on the quality of the teaching force from all states and institutions of higher education that receive HEA funds. Report to Congress on data trends and findings.

  - New, collaborative research projects between OERI, NSF, and NICHD will focus on improving the content and pedagogical skills for reading, math, and science teachers.

- **Strengthened school leadership.** One component of ED's proposal for the reauthorization of the Elementary and Secondary Education Act will focus on improving school leadership.

- **Public awareness.** Issue the second biennial national report card on teacher quality by January 2000.

Coordination with other organizations and federal agencies and within ED

- **National Science Foundation**. ED is coordinating with the National Science Foundation (NSF) to implement the ED-NSF Action Strategy to improve mathematics instruction and achievement. ED is requesting $6.7 million in new funding for Eisenhower Professional Development Federal Activities to examine what teachers need to know and be able to do to improve student achievement in math, and that professional development is needed to bring teachers to that level.

- **National Staff Development Council (NSDC).** ED is also coordinating with the National Staff Development Council (NSDC) in the dissemination of information about the lessons from the award-winning sites under ED's National Awards Program for High-Quality Professional Development.

- **Coordination within ED**. ED's cross-office Professional Development Team will continue to improve the coordination of ED's programs that support professional development by sharing information and strategies across programs and by sponsoring training opportunities on teacher professional development for ED staff. In addition, the Professional Development Team is coordinating with the Department's Math and Reading Initiatives to develop an awards program for outstanding teacher training programs in reading and math. The Professional Development Team is also working with those initiatives in order to develop a program to support professional development opportunities for higher education faculty who work in teacher training programs.

Programs supporting this objective

Programs solely for teacher training or professional development

- Eisenhower Professional Development State Grants
- HEA Title II: Teacher Quality Grants
- Teacher Training in Technology
- IDEA Personnel Preparation
- Telecommunications Demonstration Project for Mathematics
- National Writing Project
- Bilingual Education Professional Development
- Indian Education Professional Development

Programs for technical assistance and/or research

- Eisenhower Professional Development Federal Activities Program
- Eisenhower Regional Consortia
- Regional Educational Laboratories
- National Education Research Institutes
- Comprehensive Regional Assistance Centers
- Statistics and Assessment

Programs for instructional services and professional development

- Title I grants to local educational agencies
- Technology Literacy Challenge Fund
- IDEA State Improvement Grants
- IDEA State Grants (B,C)
- Bilingual Education
- Goals 2000
- Class Size Reduction
- Educational Opportunity Zones
- Reading Excellence Act
- Star Schools
- Javits Gifted and Talented Education
- Technology Innovation Challenge Grants

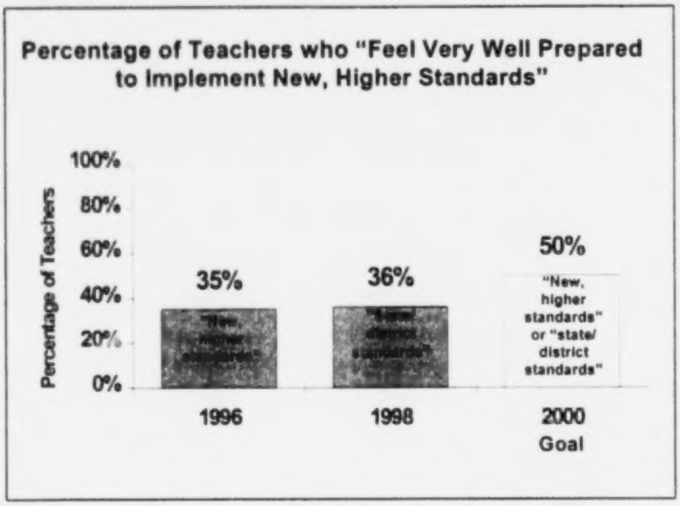
Performance indicators and charts

The six performance indicators in the Strategic Plan for objective 1.4 focus on key outcomes regarding the quality of the teaching force and the policies that affect the teaching force.

Indicator 23. The percentage of teachers who feel very well prepared to implement new, higher standards will increase annually.

Indicator background and context. According to the 1996 Public School Survey on Education Reform (Fast Response Survey 54, National Center for Education Statistics), 35 percent of teachers reported that they felt very well equipped to set or apply new, higher standards in their classrooms (see Figure 28). By 1998, the percentage of teachers who felt confident about implementing standards had not grown significantly: In the 1998 NCES Fast Response Survey (FRS) of teachers, only 36 percent said that they felt very well prepared to implement state or district curriculum and performance standards.

Figure 28



Limitations of the data. Indicator is based on teacher self-reported data. However, research has found teachers answers to correspond closely with independent classroom validations.
Verification/validation of measures. The 1998 National Longitudinal Survey of Schools (NLSS) includes a survey of teachers that asks about their preparation to implement standards.
Data source(s). FRS, 1996; FRS, 1998. Data will be available from the NLSS in late 1999.

Indicator 24. By 2002, 75% of states will align initial teacher certification standards with high content and student performance standards.

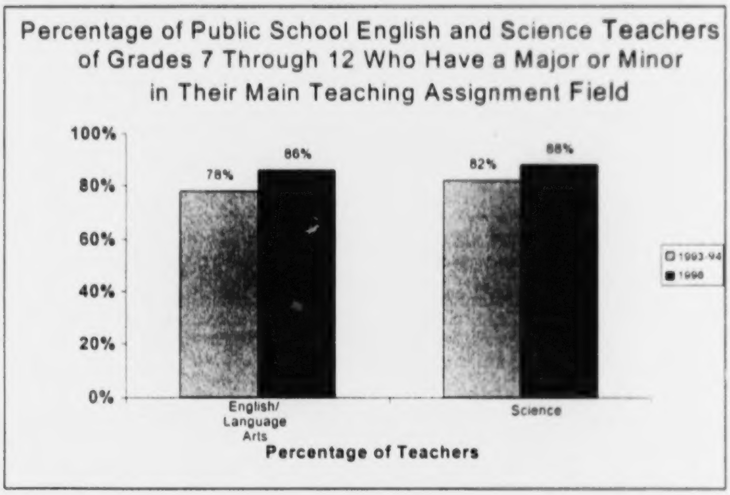
Indicator background and context. Currently, about 32 states are working to raise initial teacher certification standards through the Interstate New Teacher Assessment and Support Consortium (INTASC) -- a consortium of state educational agencies, higher education institutions, and national educational organizations *developing model standards and assessments for beginning teachers.*

Limitations of the data. In addition to knowing the percentage of states that align their initial teacher certification standards to student content and performance standards, it will also be important to track the percentage of new teacher candidates who are able to pass new initial certification tests.
Verification/validation of measures. No independent study currently exists on the quality or alignment of initial teacher certification standards.
Data source(s). Interstate New Teacher Assessment and Support Consortium. Through the upcoming evaluation of Title II (Teacher Quality) of the Higher Education Amendments of 1998, ED will sponsor an independent, expert review of states' standards for initial teacher certification.

Indicator 25. Throughout the nation the percentage of secondary school teachers who have at least a minor in the subject they teach will increase annually.

Indicator background and context. Between 1994 and 1998, the percentage of secondary English/language arts and science teachers with an undergraduate or graduate major or minor increased (FRS, 1998).

Figure 29

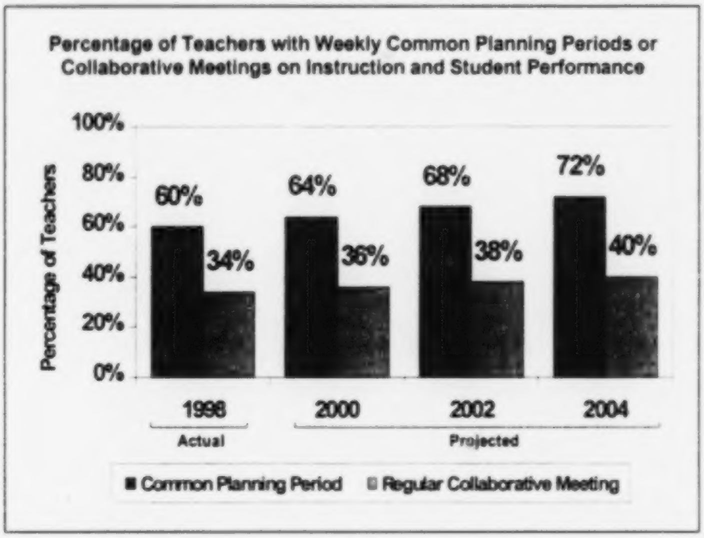


Limitations of the data. Some teachers report that although they may not have a major or minor in their main teaching field, their schools or districts require them to take additional courses in their main teaching fields. Thus, in some cases, teachers who do not have a major or minor in their subjects may be adequately prepared to teach in those subject fields.
Verification/validation of measures. NCES will conduct an extensive review of all FRS and SASS data in order to ensure data quality in 1999-2000.
Data source(s). SASS, 1994; FRSS, 1998. In 1999-2000, ED will conduct the next Schools and Staffing Survey (SASS) and will thus obtain updated data for teachers of all academic subjects.

Indicator 26. Increasing percentages of teachers will have weekly, common planning periods or weekly collaborative meetings with other teachers in order to improve curriculum, teacher knowledge, teaching skills, and student performance.

Indicator background and context. Teachers often report that working collaboratively improves the quality of their teaching. In 1998, 60 percent of elementary and secondary classroom teachers of the core academic subjects had weekly common planning periods with other teachers, and 34 percent of such teachers had weekly collaborative meetings with other teachers (FRS, 1998).

Figure 30

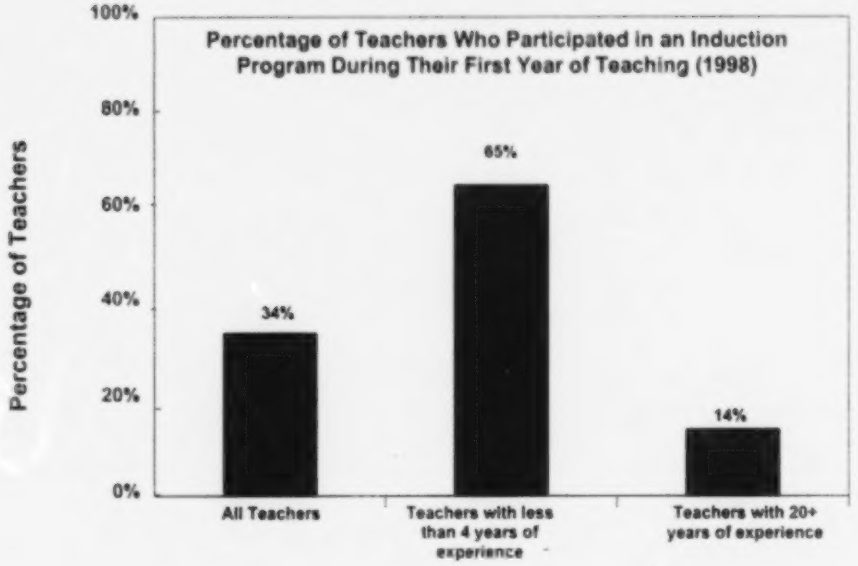


Limitations of the data. The main source of data for this indicator will come from large-scale surveys such as the Fast Response Survey of teachers; this kind of survey will not provide in-depth data on the quality and productivity of this collaborative time. Other research sponsored by ED and independent organizations will need to provide this in-depth, qualitative information.
Verification/validation of measures. The National Center for Education Statistics (NCES) will extensively review the data from the FRS and SASS in order to ensure data quality.
Data source(s). The 1998 Fast Response Survey (FRS) of teachers and the 1999-2000 Schools and Staffing Survey will be the data sources for this indicator.

Indicator 27. Increasing percentages of teachers will participate in a formal, high-quality induction program during their first year of teaching.

According to the 1998 NCES Fast Response Survey (FRS) of teachers, higher percentages of newer teachers report that they participated in a formal induction program during their first year of teaching than do teachers with many years of experience (see Figure 31). These data imply that induction programs have become more common in recent years. Although this may be the case, we do not know if the induction programs are of high-quality because teachers in the SASS and FRS samples were not asked questions about the nature and intensity of the program. Research indicates that year-long supports, such as common planning time with other teachers, sessions with a mentor teacher, or regular communications with the principal or other staff, are features of high-quality, induction programs. In the 1999-2000 SASS, NCES will collect data on the percentage of teachers that participate in induction programs with these important features.

Figure 31



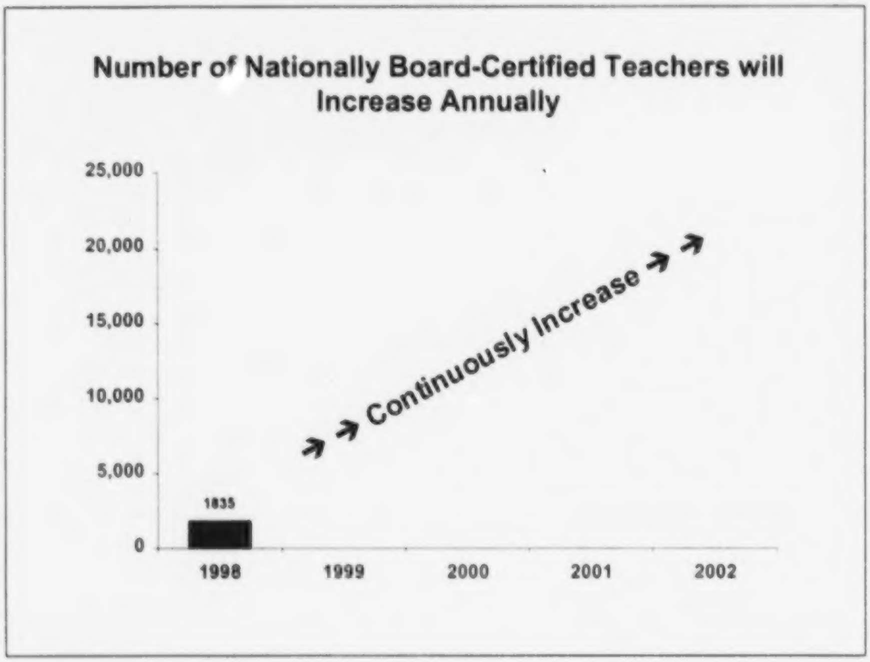
Verification/validation of measures. The National Center for Education Statistics (NCES) will extensively review the data from the next SASS (1999-2000).
Data source(s). The next update will be from the 1999-2000 SASS.

Indicator 28. The number of nationally board certified teachers will increase annually.

Indicator background and context. The National Board for Professional Teaching Standards (NBPTS) establishes rigorous standards and assessments for certifying accomplished teaching. There are currently 1,835 nationally board-certified teachers, and the goal is to increase the number of such teachers annually (see Figure 32).

By the end of 2000, the Board will offer assessment packages and certificates in 16 teaching fields. When assessments and certificates in 16 fields are available, approximately 82 percent of the teaching workforce will have access to National Board certification. When a total of 25 certificates are available in 2002, 95 percent of the teaching population will have access to National Board certification.

Figure 32



Limitations of the data. Although the indicator on the number of Board certified teachers is important, it does not fully capture the impact of the NBPTS. For example, the work of the Board has influenced the development of teacher standards in states and districts and is currently bringing about changes in curriculum or program structure at 63 teacher training programs across 28 states.

Verification/validation of measures.

Data Source. National Board for Professional Teaching Standards (NBPTS).

Objective 1.5: Families and communities are fully involved with schools and school improvement efforts.

Context: Family involvement in their children's learning is a greater predictor of academic achievement than socioeconomic status or parents' educational level. As such, getting families and community members involved in children's learning can be a powerful force for school improvement efforts. To help all children achieve to high standards and to improve schools, the U.S. Department of Education (ED) initiated a unique private-public partnership in 1994, known as the Partnership for Family Involvement in Education. The Partnership and its over 4,200 members focus on specific national activities—America Goes Back to School, The America Reads Challenge, Think College Early, and 21st Century Community Learning Centers. In addition, parental and community involvement is promoted through the ED's programs—Title I, Even Start, special education, bilingual education, migrant education, postsecondary education, and Goals 2000.

External factors: Family involvement is ultimately determined by the actions of parents and their children in their home. Through assisting schools, community organizations, employers and religious organizations by holding conferences and providing information on best practices, the Department can help support families in their efforts to help their children learn.

Key strategies

- Financial support for federal programs that support families in helping their children learn.
    - Support the start-up or expansion of 6,000 additional 21st Century Community Learning Centers that would provide extended learning services to 1.1 million students in total ($600 million in FY 2000).
    - Support state projects and local college-school partnerships under GEAR UP ($240 million).
    - Continue family literacy programs through Even Start ($145 million).
    - Support Goals 2000 Parent Information and Resource Centers that exist in every state and territory ($30 million).
    - Increase support for IDEA parent information centers for families of children with disabilities ($22.5 million).

- **Partnership for Family Involvement in Education (PFIE).**
    - Involve local Partners in PFIE's four lead initiatives: 21st Century Community Learning Centers or the After-School Initiative, the America Reads Challenge/READ*WRITE*NOW, America Goes Back to School, and Think College Early.
    - Continue to seek out new partners through outreach efforts that promote family-school-community partnerships.
    - Work with member organizations from education, business, community groups, and faith communities to build local coalitions and to further their own family involvement activities.
    - Hold religion and education summits across the nation to promote family involvement activities.
    - Work with representatives from program offices across ED to leverage partners to increase participation in the four lead initiatives, and use these four initiatives to gain additional partners.
    - Promote greater student involvement in PFIE efforts.

Selected Accomplishments

Strengthened family involvement in federal programs

- Partnership efforts have contributed to the drafting and adopting of legislation that incorporates family and community involvement components, including the Reading Excellence Act, GEAR UP for College, and 21st Century Community Learning Centers.
- Developed a coordinated outreach of the Title I "Compact for Reading" (a template for building effective school-parent-community partnerships) the Comprehensive Technical Assistance Centers
- Expanded Parent Information and Resource Centers to include at least one center in every State.
- Supported parents of children with disabilities through IDEA technical assistance and dissemination and parent information centers.

Implemented regional strategies

- Increased outreach to Hispanic families through seven local PFIE summits and other activities at the regional and local levels, in collaboration with the White House Initiative on Excellence in Education for Hispanic Americans. More than 1,300 local family, community, education, employer, and religious leaders participated.

Expanded outreach and technical assistance

- Through a new public-private after-school partnership, the Charles Stewart Mott Foundation, has pledged $55 million over five years to provide technical assistance, training, and public outreach to support high-quality extended learning opportunities.
- The number of partner organizations in the Partnership for Family Involvement in Education grew by more than 1,300 with membership now totaling more than 4,800 family, school, community, employer, and religious organizations.
- In a customer satisfaction survey of Partner organizations more than 80% of respondents said that they had benefited from their involvement in the Partnership for Family Involvement in Education and a majority reported that their level of activity had increased since signing on
- The Partnership collaborated with major national business conferences, The Conference Board and *Working Mother* magazine's annual CEO Summit, to highlight the efforts of employers to strengthen employee involvement in education and build business-education partnerships that support systemic reform in local schools.
- Provided information, technical expertise, and other assistance to enable families and communities to become involved in children's learning through printed matter, civil rights technical assistance, and the Internet.
- Partnership outreach efforts have resulted in the significant redesign of the Partnership's Web site with support from *USA Today* and linked to its main news site, which receives 75 million hits daily. *Community Update*, with information about Partnership activities, now circulates too more than 275,000 subscribers.
- Partners developed a CD ROM, "Preparing Teachers to Involve Families," as a preservice and professional development tool. Launched at the 1999 American Federation of Teachers Midwinter conference, the kit is being used by educator, school and family organizations with their own members for use to train their members.

- **Outreach and technical assistance.**
  - Coordinate federal program assistance and training materials for family involvement in children's learning by connecting parent provisions in Title I and other programs for at-risk students such as Comprehensive Regional Assistance Centers, Goals 2000 Parent Information and Resource Centers, and Civil Rights outreach activities.
  - Support parents of children with disabilities through IDEA technical assistance and dissemination and parent information centers.
  - Increase use of Web site information dissemination by expanding resources on the PFIE web page to include additional publications, training materials, evaluation templates, guides to effective practices, examples of model programs, and other resources that can strengthen partners' networking capacities.
  - Increase outreach to Hispanic families through local PFIE summits and other sign-on activities.

- **Research**
  - Develop and implement a long-range applied research agenda to strengthen family involvement in children's learning.
  - Annually evaluate the performance of the Partnership for Family Involvement in Education.
  - Undertake recognition activities that identify and publicize effective Partnership activities.
  - Provide evaluation guidance for family-school partnerships to help students learn in such areas as after-school programs and early college awareness.

Coordination with other federal agencies

- **White House**
  - Work with the White House Cabinet Affairs office to successfully implement the Partnership's national initiative, *America Goes Back to School*, through participation of every federal agency.
  - Participate in White House activities promoting their *Strong Families, Strong Communities* initiative in such areas as fatherhood, family involvement in education, and Family Reunions.

- **Health and Human Services, Housing and Urban Development, Department of Agriculture, Department of Justice.** Work through the National Performance Review with the Departments of Health and Human Services, Housing and Urban Development, Agriculture, Justice, Corporation for National Service, and many others on coordinating efforts that make the most of young people's out-of-school time.

- **Corporation for National Service.** In partnership with the Corporation for National Service, 65 pilot sites were established throughout the country which were linked to the PFIE Partners and the Coalition for the *America Reads Challenge*. Materials were developed jointly, Web sites were linked, and College Work-Study students used.

- **Other organizations.** PFIE continues to obtain input and support from numerous public and private organizations, such as the National Middle School Association, the College Board, and Boy Scouts of America (Learning for Life), in designing and implementing the Early Awareness Information program, ED-National Science Foundation (NSF) national mathematics public engagement campaign, and High Hopes program.

Programs and funding supporting this objective

Direct service to parents

- Goals 2000 Parental Assistance
- IDEA Parent Information Centers (Part D)
- IDEA Technical Assistance and Dissemination (Part D)
- IDEA Infants and Families (Part C)
- Even Start
- Bilingual Education
- Ready to Learn Television
- 21st Century Community Learning Centers

Reading

- Inexpensive Book Distribution
- Ready to Learn Television

Information on college

- TRIO programs
- GEAR UP
- 21st Century Community Learning Centers
- Preparing for College (proposed)

Family-school partnership building

- Title I Grants to LEAs
- IDEA State Grants (Part B)
- Migrant Education
- Safe and Drug-Free Schools
- Comprehensive Regional Assistance Centers
- Regional Educational Laboratories
- 21st Century Community Learning Centers

- Comprehensive Regional Assistance Centers
- Regional Educational Laboratories
- Reading Excellence Act
- 21st Century Community Learning Centers

After-school

- 21st Century Community Learning Centers
- Title I Grants to LEAs
- IDEA State Grants (Part B)
- Regional Educational Laboratories

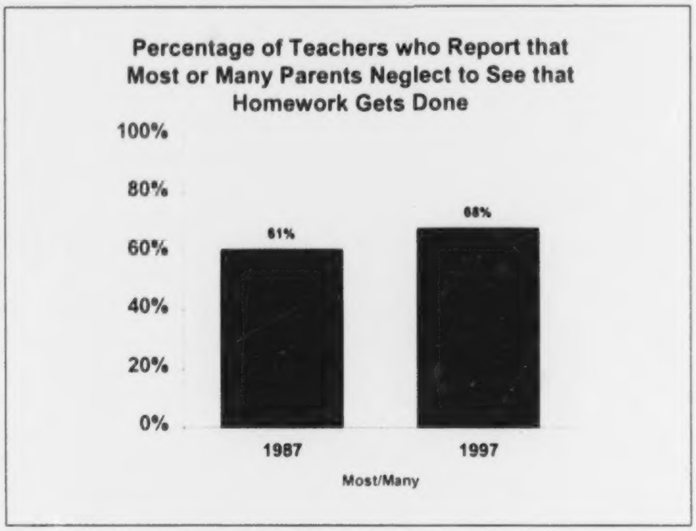
Performance indicators and charts

Performance indicators for objective 1.5 focus on measuring family involvement in education from the vantage points of the parent and the child.

Indicator 29. The percentage of elementary school students who come to school prepared for learning and having completed their homework, as rated by their teachers, will increase substantially over the next five years, especially among children from low-income families.

Indicator background and context. According to teachers, the number of parents who do not adequately monitor their children to see that they regularly complete their homework has increased in the last decade.

Figure 33

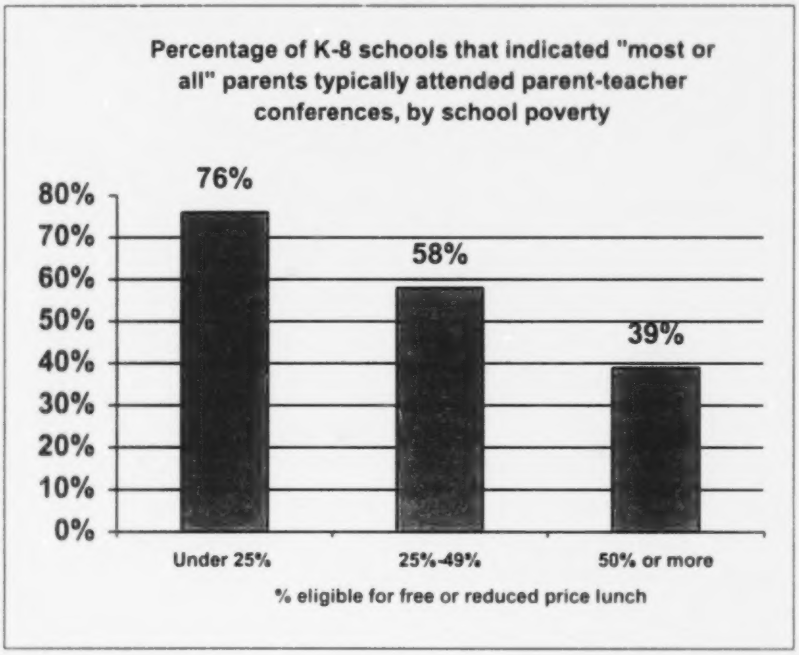


Limitations of the data. This is an interim indicator obtained from a nationally representative survey of teachers. Teachers were asked their views on parent homework supervision, an important factor in determining whether students' complete their homework.
Verification/validation of measures. The Metropolitan Life survey was conducted by Louis Harris and Associates and subject to rigorous statistical quality controls.
Data source(s). The American Teacher 1998, Metropolitan Life. A 1999 survey will ask teachers directly about homework completion in the elementary grades.

Indicator 30. The percentage of parents who meet with teachers about their children's learning will show improvement and the gap in participation in parent-teacher conferences between high- and low-poverty schools will close.

Indicator background and context. Although parent teacher conferences are one important way in which parents can work with teachers to support their children's learning, rates of attendance vary greatly among schools. Parents in high-poverty schools are only about half as likely to regularly attend such conferences as parents in schools serving higher income families (see Figure 34).

Figure 34

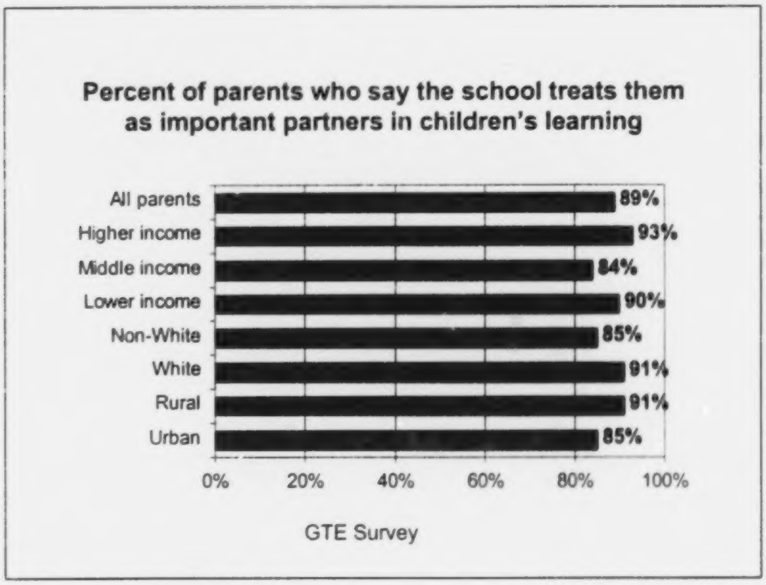


Limitations of the data The classification of "most or all" parents attending is possibly subject to differing interpretations across school respondents.
Verification/validation of measures. The NCES survey is subject to strict statistical controls.
Data source(s). Parent Involvement in Children's Education: Efforts by Public Elementary Schools National Center for Education Statistics, Fast Response Survey, 1998.

Indicator 31. The percentage of parents who say that the school actively encourages and facilitates family involvement will show improvement.

Indicator background and context. Although parents overwhelmingly say that schools treat them as important partner, schools do not necessarily involve families in a true partnership that supports children's learning through shared responsibilities (see Figure 35). In 1997, 79 percent of parents said they want to learn more about how to help their children in school. A high percentage of parents, especially minority parents, report a willingness to participate in a compact, yet few parents report that they have had the opportunity to do so. In 1997, about one-third of parents reported having signed an agreement for learning at school or at home, an increase from one-fifth in 1994.

Figure 35

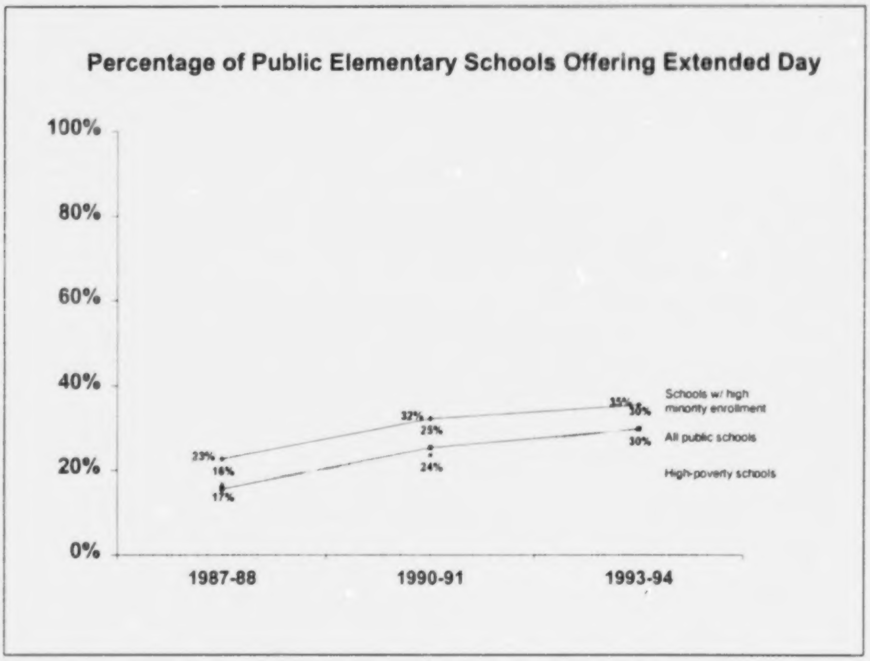


Limitations of the data. Cultural and language barriers between schools and family members may limit opportunities for full parental involvement.
Verification/validation of measures. No verification measures at this time.
Data source(s). GTE commissioned Survey conducted by NORC, 1997.Next update: 1999.

Indicator 32. By 2002, the number of children participating in after-school programs will double, from 1.7 million to 3.4 million children.

Indicator background and context. High-quality after-school programs with goal setting, low staff-student ratios, strong family involvement, and linkage with schoolteachers help ensure children's continuous growth, development, and learning through the preadolescent and adolescent school years (Safe and Smart, 1998). While a number of communities are already developing such after-school programs, they are not widespread, particularly in the public schools. In 1998, there were 28 million school-aged children with parents in the workforce. But as recently as the 1993-94 school year, 70 percent of all public elementary schools did not have a before- or after-school program (see Figure 36). In addition, the majority of extended-day programs are aimed at kindergarten and early elementary school students, and focus on supervised care rather than academic instruction.

Figure 36



Limitations of the data. No limitations of data.

Verification/validation of measures. The last major study of after-school programs used 1991 data. Data from the 1993-94 Schools and Staffing Survey were used by NCES to determine school-based after-school programs in 1996.

Data source(s). Seppanen, P., Love, J., deVries, D. And Bernstein, L. (1993). National Study of Before- and After-School Programs. Washington, D.C.: U.S. Department of Education; NCES 1996.

Objective 1.6: Greater public school choice will be available to students and families.

Context: Research suggests that public school choice fosters a sense of ownership among school staff, students, and parents, which promotes successful efforts toward common goals. Public school choice can encourage greater flexibility in school offerings to address the needs of students, families, and communities, while maintaining accountability for students meeting challenging state standards of performance.

According to a 1993 survey of parents, approximately 12 percent of all U.S. students in grades 3-12 attended a public school that their families chose. Public school choice operates through a variety of mechanisms, including charter schools, magnet schools, open enrollment policies, and postsecondary options.

The Department of Education (ED) has promoted choice in public education primarily by supporting new or significantly expanded charter schools and magnet schools through ED's Public Charter Schools Program (PCSP) and Magnet School Assistance Program (MSAP), respectively.

Most of these public school choice programs are designed to expand educational opportunities, heighten parental engagement, and be used as tools for school reform -- all strong forces behind improved academic outcomes for all students. Specifically, the PCSP provides start-up funds for charter schools and for evaluating the effects of the charter school on other schools and students. The MSAP provides funds to help school districts establish new magnet schools. The purpose of these magnet schools is to reduce minority group isolation and promote diversity by creating programs that attract students from different backgrounds.

External factors: The extent to which public school choice is made available to students and families is considerably influenced by state and local decision-making. For example, 18 states, and districts in 11 other states, permit open enrollment (i.e., allowing students to attend public schools other than their assigned school).

Key strategies

- **Financial support for public schools of choice.**
  - Support the planning and start-up costs of up to 2,200 charter schools (serving about 300,000 students) through the FY 2000 request for $130 million for the Public Charter Schools Program.
  - Support magnet school projects in 57 school districts (with an average of 7 or 8 magnet schools per district) through the $114 million request for the Magnet Schools Assistance Program.

- **High-quality and timely technical assistance and outreach.**
  - Hold annual national charter schools conferences to promote cross-fertilization of knowledge and experience about charter school practitioners and researchers. Participants in similar conferences provided very positive feedback on the usefulness of conference sessions to their jobs.
  - Encourage interest and understanding of charter schools by conducting informational and outreach meetings in states with new charter school laws.
  - Provide ongoing technical assistance to magnet schools and charter schools through the Equity Assistance Centers and the Comprehensive Regional Assistance Centers.
  - Provide assistance to entities that grant charters in developing accountability plans, reviewing charter applications, and administering high-quality programs.

- Monitor recipients of Public Charter School Program funds to determine whether they are following the terms and conditions of the grant award.
- Develop new leaders for charter schools by conducting outreach and training workshops through the Department of Education's regional education labs.
- Increase networking among charter schools through the continually updated and improved charter schools' web site–this site averages 10,000 hits per month, most of which are from practitioners.

- **Research and evaluation.**
  - Release the year 1 report of the evaluation of the Public Charter Schools Program -- the first of a three-year study -- which will examine the role of Public Charter Schools Progam and State Educational Agencies in promoting the development of charter schools.
  - Release the year 1 report of the evaluation of the Magnet Schools Assistance Program -- the first of a four-year study -- which will provide a baseline picture of the extent to which Magnet Schools Assistance Program grantees are meeting statutory objectives.
  - Release charter school finance study, which will explore whether states' policies and practices related to charter school finance are conducive to meeting the policy goals set forth in their charter school legislation.

Selected Accomplishments

Promoted the growth of high-quality charter schools

- The Charter Schools Expansion Act of 1998 made great strides toward encouraging the creation of high-quality charter schools that operate flexibly in exchange for improved student performance. The law reauthorized the Public Charter Schools program and encourages states—through grant funding priority—to allow charter schools to control their budgets and expenditures; it also encourages them to review charter school performance regularly and to hold them accountable for clear and measurable objectives for student performance.

Facilitated the sharing of best practice among charter schools and other public schools

- ED brought hundreds of charter schools operators together to share "lessons learned" with one another through a major national conference (800 attendees, who overwhelmingly reported its usefulness), its web site, which attracts 4,000 visitors per week, and several regional meetings. Further, to promote charter schools' positive impact on the public school system, the Charter Schools Expansion Act provides new opportunities for charter schools to share promising practices with other public schools.

Explored ways to better promote excellence and equity in ED public school choice programs and initiatives

- ED convened a forum of education experts in December of 1998 to gather insight into ways that the Public Charter Schools and Magnet Schools Assistance programs can increase the availability of public school choice and better promote quality, equity and diversity within public education. The resulting discussion is helping shape the role of public school choice in the Department's ESEA reauthorization proposal as a tool for accelerating school reform.

Coordination with other federal agencies

- **Partnerships to promote charter schools in the District of Columbia.** Work with other federal agencies and the District of Columbia school system to encourage their adoption or support of high-quality public charter schools in the district.

Programs and funding supporting this objective

Grants for services

- Magnet Schools Assistance Program
- Public Charter Schools Program

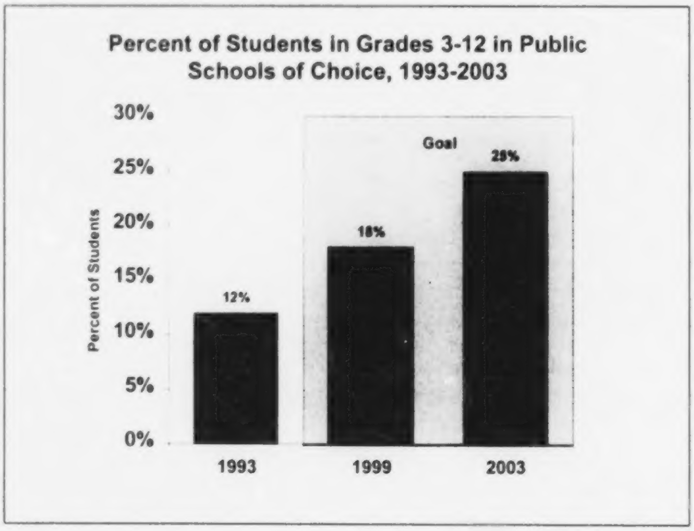
Performance indicators and charts

The Department of Education measures its progress toward meeting the objective of increased public school choice availability by tracking (1) the percentage of students in public schools of choice, (2) the number of states with charter school authorizing legislation, (3) the number of charter schools operating nationwide, and (4) the extent to which districts are making choice available to families.

Indicator 33. By 2003, 25% of all public school students in grades 3-12 will attend a school that they or their parents have chosen.

Indicator background and context. The growth in charter schools, magnet schools and other public school choice strategies will result in increasing percentages of students enrolled in schools that they and their families choose (see Figure 37).

Figure 37



Limitations of the data. No known limitations.

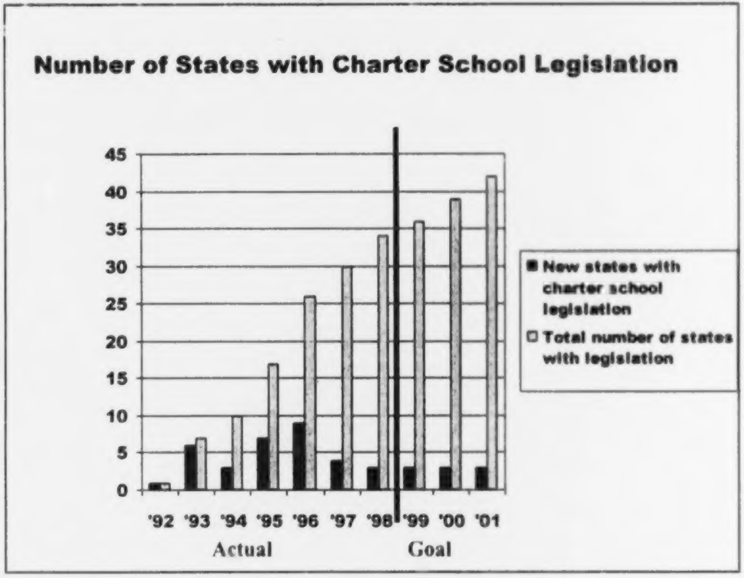
Verification/validation of measures. The National Household Education Survey (NHES) is a data collection system of the National Center for Education Statistics (NCES) that is designed to address a wide range of education-related issues. In the 1993 NHES, nearly 64,000 households were screened.

Data source(s). National Household Education Survey, 1993, 1999 and 2003.

Indicator 34. By 2001, a minimum of 40 states will have charter school legislation.

Indicator background and context. Since Minnesota became the first state to enact charter school authorizing legislation in 1991, 34 states, the District of Columbia, and Puerto Rico have followed suit as of 1998 (see Figure 38).

Figure 38

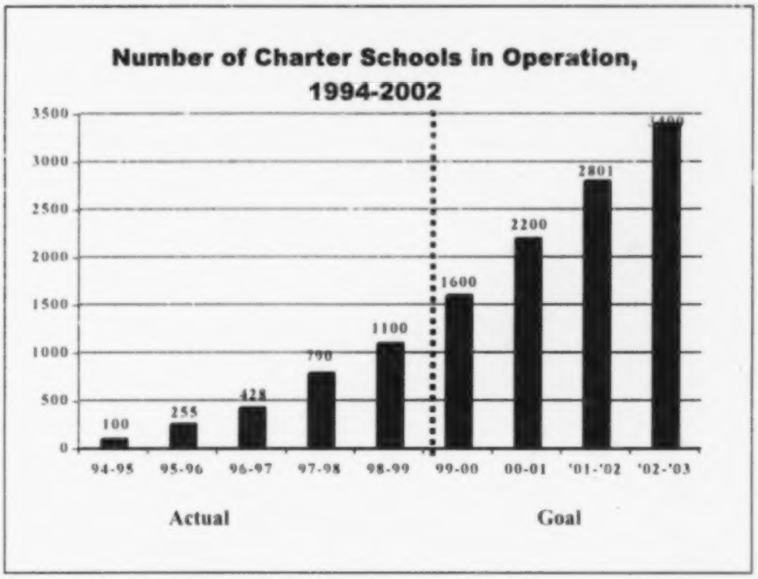


Limitations of the data. None.
Verification/validation of measures. Existence of state legislation is easily verified.
Data source(s). State Educational Agencies.

Indicator 35. By 2002, there will be 3,000 charter schools in operation around the nation.

Indicator background and context. The number of charter schools has been increasing rapidly since the first charter school opened in Minnesota in 1992 (see Figure 39). Between the 1996-97 and 1997-98 school years alone, there was nearly a 100% increase in the number of operating schools. Over 1,100 charter schools are in operation in 1998-99. The nature of state laws significantly influences the growth of charter schools; indeed, although 33 states have authorizing legislation, the majority of charter schools are located in seven states (Arizona, California, Colorado, Florida, Michigan, North Carolina, and Texas).

Figure 39

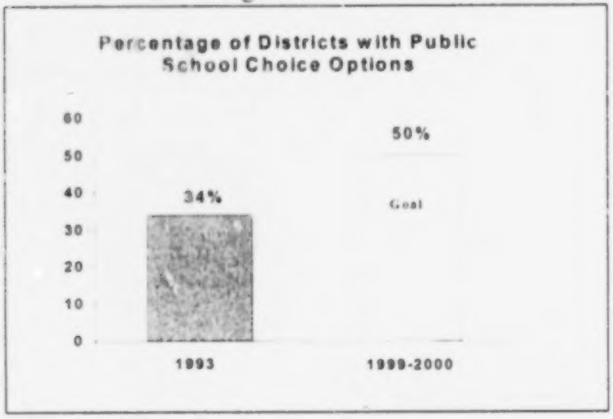


Limitations of the data. Two key issues relevant to tracking the number of charter schools include their quickly growing numbers and the fact that schools can be chartered through a variety of public and private entities. Estimates are often made by combining data that are not collected uniformly.
Verification/validation of measures. Cross-referencing sources has helped validate figures received from various sources. Plans are underway to collect basic information from state educational agencies on charter schools, including counts of operating schools twice per year.
Data source(s). National Study of Charter Schools, Center for Education Reform; State Educational Agencies.

Indicator 36. By 1999, at least half of school districts with 1,000 or more students will have public school choice options available to their students through magnet schools, charter schools, and open enrollment policies.

Indicator background and context. School districts can provide families choice in public education through open enrollment, magnet and charter schools, and other mechanisms. The extent and nature of available choices is expanding (see Figure 40).

Figure 40



Limitations of the data. The survey question from which these data have been derived is worded in very general terms, and there may be measurement error resulting from respondents' differences in interpretation. Further, this estimate was derived from a sample of all districts, including very small districts that could not offer choice among schools within a district because there is only one school available. Therefore, the actual percent of districts offering choice as a proportion of the number of districts that realistically can do so may be considerably higher. Lastly, several states have statewide public school choice policies in place; these state policies do not appear to have factored into the district personnel survey responses that comprise this measure.

Verification/validation of measures. The Schools and Staffing Survey (SASS) was designed to provide estimates for public schools at both the national and state levels. At the local level, the 1993-94 SASS selected 5,500 school districts associated with selected schools and 100 districts not associated with selected schools. The district-level survey had a weighted response rate of 94%.

Data source(s). Schools and Staffing Survey, 1993-94. Next update: 1999-2000.

BEST COPY AVAILABLE

Objective 1.7: Schools use advanced technology for all students and teachers to improve education.

Context: Research has found that educational technology, when used effectively, can significantly improve teaching and learning. To support schools in incorporating technology into their curricula, the President has established the four pillars of the Educational Technology Literacy Challenge:

1. All teachers in the nation will have the training and support they need to help students learn using computers and the Internet (Information Superhighway);
2. All teachers and students will have modern multimedia computers in their classrooms;
3. Every classroom will be connected to the Internet (Information Superhighway); and
4. Effective software and on-line learning resources will be an integral part of every school's curriculum help to ensure that no child is left behind.

The educational resources of the Internet (Information Superhighway) are growing rapidly. However, many students and teachers, particularly those in high-poverty or rural schools, have little access to these resources.

We have made great progress on our goals to put modern computers in our classrooms and connect them to the Internet (Information Superhighway). With increasing access to computers and tele-communications, we must ensure that teachers also have the ongoing training and support they need to effectively use this investment for improved teaching and learning.

In response to this significant need, the Administration's educational technology FY 2000 investments will place special emphasis on technology training for educators. These funds will help to ensure that all new teachers can use technology effectively in the classroom and that at least one teacher in every school can serve as a technology expert to assist other teachers. In addition, the FY 2000 budget requests increased funding for the interagency research initiative and for increasing access to technology in communities, particularly for disadvantaged students and families.

External factors: The digital divide between low-and high-poverty schools is closing slowly, but the digital divide between poor homes and others is larger than that between school -and it persists. Lack of access to and use of computers in the home for poor children exacerbates inequalities stemming from lower rates of access to computers in high-poverty schools.

Key strategies

- **Technology Challenge Programs.** Financial support for leveraging state and local initiatives for effective use of educational technology.
  - Through the Technology Literacy Challenge Fund (TLCF), support grants to local districts to expand efforts to train teachers, get computers, connect schools to the Internet, and acquire, where necessary, high-quality educational software and on-line learning resources.
  - Encourage states and local districts to devote at least 30 percent of the TLCF funds to provide training and support for teachers in the use of technology for teaching.
  - Provide evaluation tools and encourage states and districts to evaluate progress toward achieving the four national education technology goals and to evaluate the impact of education technology on student achievement.

- Use the Technology Innovation Challenge Grants appropriation to continue and expand partnerships among educators, business and industry, and other community organizations to develop and demonstrate innovative applications of technology that are integral to the curriculum and professional development in the effective use of technology in the classroom.

Selected Accomplishments

Technology Innovation Challenge Grants (TICG) build partnerships and funds for education

- Technology Innovation Challenge Grants (TICG) have brought together education, industry, and other partners in 82 different demonstration projects that involve 701 school districts, 389 business partners, 220 colleges and universities, and hundreds of community organizations. Business and community partners have matched the federal investment with commitments of over $1 billion in the first four years of the program.

Increasing technology access in 1,814 districts

- Technology Literacy Challenge Fund (TLCF) monies in FY97 provided increased access to technology in 1,814 districts serving 12.8 million students, or about 28 percent of all students nationally.

State and local technical assistance in evaluating technology

- In response to state and local requests, the Department has developed "An Educator's Guide to Evaluating the Use of Technology in Schools and Classrooms." The Guide will serve as a practical resource to help educators tailor evaluations to the specific needs of their districts and schools.

"E-rate" pulls in 30,000 applicants

- The E-Rate has resulted in more than 30,000 applicants (states, districts, schools and libraries) who will qualify for more than $1.9 billion in telecommunications discounts.

Computer donations to schools initiative

- Secretary Riley pledged to donate 2,000 surplus departmental computers to schools as part of the Computers for Learning Initiative. To date, ED has donated 1,202 computers from the Department of Education to schools across the country. Government-wide, federal agencies have donated more than 8,900 computers to schools.

On-line reporting initiated

- The Department of Education is using technology in new ways to facilitate program administration for states. For the first time, states and districts have submitted their annual Technology Literacy Challenge Fund (TLCF) annual reports via an on-line database. The reporting will yield a baseline for subsequent program support and evaluation.

Technology Links: Teachers, Centers, and Networks

- An $87 million dollar appropriation for Technology National Activities in FY 1999 will initiate a $75 million program to ensure that new teachers are prepared to integrate technology effectively into their classrooms; a $10 million program to establish computer learning centers in low-income communities; and a $2 million program to strengthen the network of ED's technology programs and link them more closely to other federal, state, and private sector efforts.

National initiatives:

- **Teacher preparation for 21st century classrooms**
  - Use $75 million for the Preparing Teachers to Use Technology program to make grants to teacher colleges, other education organizations, and consortia to help ensure that prospective teachers are prepared to integrate technology effectively into teaching when they enter the classroom.

BEST COPY AVAILABLE

  - Encourage states to adopt technology standards that are included in the teacher certification and recertification process. Encourage higher education institutions to partner with the private sector to integrate educational technology into preservice teacher preparation.

- **Technology literacy for students by the end of middle school**
  - Encourage states to establish technology literacy as a requirement for completion of middle school or junior high school.
  - Obtain appropriation of new funding to train teacher technology leaders in each middle school, or a team of teachers at middle or high schools who can lead these efforts.

- **Technology connections, especially for high-poverty urban and rural schools and communities**
  - Encourage schools to greatly expand their use of technology through the *E-rate*, or universal service program, created under the Telecommunications Act of 1996.
  - Use funding for the Community Technology Centers initiative to address disparities in home access to educational technology by providing increased access to computers for students and adults in high-poverty urban and rural communities.

- **Research**
  - Use the $25 million Education Research Initiative to focus on the use of technology to promote improvements in teaching and learning.

- **High-quality educational software and Web sites**
  - Support grant competitions to encourage the development of high-quality educational software and educational web sites by students, university faculty, and commercial software companies.
  - Work with other federal agencies, schools, and teachers to expand the Federal Resources for Excellence in Education Web site.

Coordination with other federal agencies

- **White House National Economic Council, White House Office of Science and Technology Policy, Department of Commerce, Department of Labor, and Department of Housing and Urban Development.** The Department is cooperating with numerous agencies on an ongoing basis to increase school and community access to educational technology and to encourage its effective use.

- **Census Bureau.** The Department supplements the Census Bureau's Current Population Survey (CPS) with questions on computer and Internet access at home.

- **National Science Foundation and National Institute of Child Health and Human Development.** The Department has requested $25 million for an interagency research initiative with the National Science Foundation and the National Institute of Child Health and Human Development which would include a focus on the use of information and computer technologies in improving school readiness for reading and mathematics, initial teaching of reading and mathematics, and teacher preparation in reading, mathematics and science. With the National Science Foundation, the Department is cosponsoring a study of educational technology and instructional practice.

- **Federal Communications Commission and its Schools and Libraries Division.** The Department is collaborating with the FCC and the Schools and Libraries Corporation for effective implementation of the universal service rate for educational access for schools and libraries (the E-Rate).

Programs supporting this objective

Formula grant programs for services and equipment
- Technology Literacy Challenge Fund
- Goals 2000
- ESEA Title I
- IDEA State Grants

Discretionary grant programs for services and equipment
- IDEA Technology and Media Services
- Community-based Technology Centers

Technical Assistance
- Regional Technology in Education Consortia
- Eisenhower Math/Science Regional Consortia

Demonstrations
- Migrant Education Technology grants
- Telecommunications Demonstration Project for Math

Development and dissemination
- Technology Innovation Challenge Grants
- Star Schools
- National Institute on Disability and
- Rehabilitation Research (NIDRR)
- Assistive Technology Program
- Eisenhower Professional Development Federal Activities
- Universal Service Discount for Schools
- Teacher Training in Technology
- Teacher Quality Enhancement Grants
- Middle School Teacher Training
- Learning Anywhere Anytime Partnerships
- Software Development initiative

Research
- Research on the Effectiveness of Educational technology (joint ED-NSF)
- National Research Institutes

Performance Indicators and Charts

Indicator 37. Students will increasingly have access to high-quality educational technology in core academic subjects.

Indicator background and context. The benefits of computers in schools and classrooms can be multifaceted, ranging from increased student motivation to improved teachers' skills and student achievement. Of key importance is the extent to which computers in classrooms serve as learning tools that improve student achievement and whether students acquire the technology literacy skills needed for the 21st century. According to NAEP, the use of computers in instruction has increased dramatically.

In 1978, 14% of eighth graders and 12% of eleventh-graders used computers when learning math. By 1996, these percentages increased to 54% and 42% respectively (see figure 41). For writing instruction, 15% of eighth-graders and 19% of eleventh-graders used computers in 1978 whereas by 1996, 92% of eighth-graders and 96% of eleventh-graders used computers (see figure 42).

Figure 41

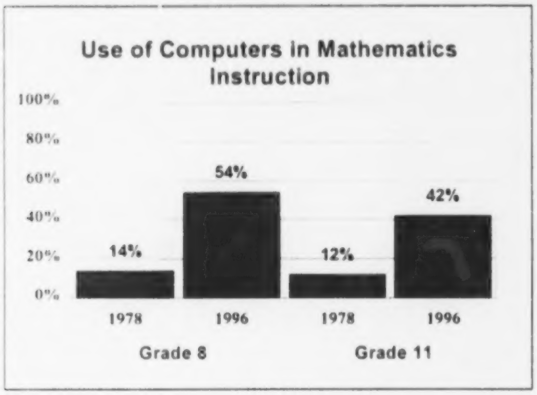
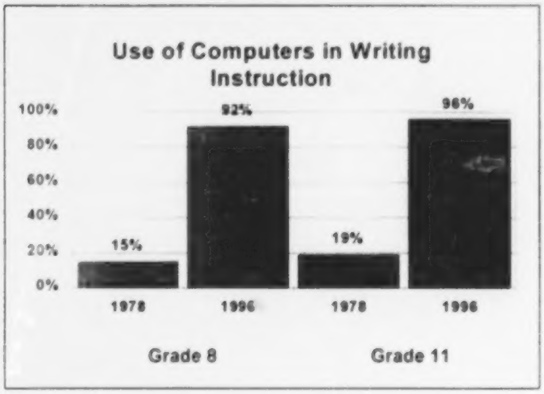


Figure 42



Limitations of the data. NAEP data do not include a precise measure of the intensity with which the technology is used, of the effectiveness with which teachers use educational technology, or of its alignment with instruction. Trend data on student achievement using educational technology are problematic unless they address these issues, and control for the changing composition of the student population with access to educational technology.

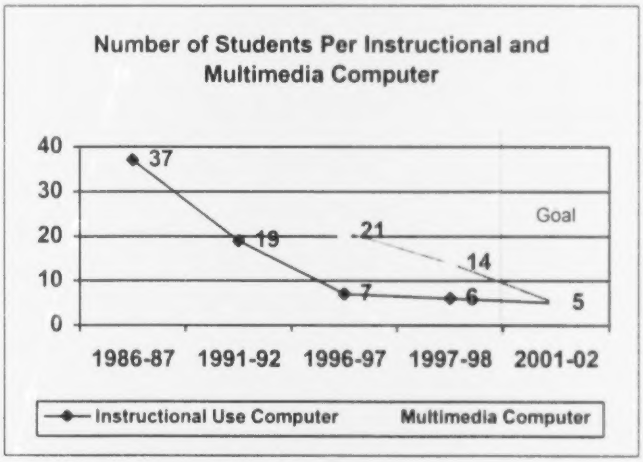
Verification/validation of measures. NAEP items for educational technology and achievement are based on substantial development work and pre-testing.

Data source(s): NAEP trend data.

Indicator 38. The ratio of students per modern multimedia computer will improve to 5:1 by 2001.

Indicator background and context. To make technology a viable instructional tool requires schools to have enough computers to provide full, easy access for all students. Citing Glennan and Melmed (1996), *Getting America's Students Ready for the 21st century* (U.S. Department of Education, 1996) notes that many studies suggest that full, easy access requires a ratio of about five students to each multimedia computer. In 1987, the ratio of students per instructional use computer was 37 :1. By 1997, this ratio had improved to 7:1 (see figure 43).

Figure 43



Limitations of the data. Market Data Retrieval data do not have consistently high response rates, and response rates vary substantially across sites. Accuracy of responses may vary considerably across districts and states.

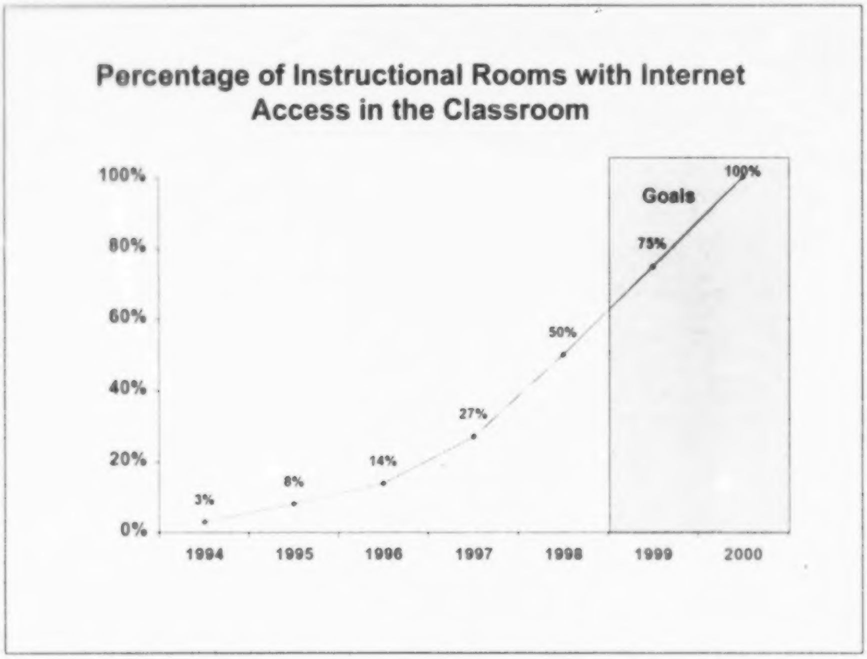
Verification/validation of measures: The estimates are roughly consistent with information from other sources such as QED and FRSS.

Data source(s): Computer access trend data from Market Data Retrieval, 1997 (public school findings).

Indicator 39. The percentage of public school instructional rooms connected to the Internet (Information Superhighway) will increase from 14% in 1996 to higher percentages thereafter.

Indicator background and context. Connections to the Internet make computers versatile and powerful learning tools by introducing students and teachers to new information, people, places, and ideas from around the world to which they might not otherwise be exposed. In 1993, only 3% of instructional rooms were connected to the Internet. By 1997, 27% of class rooms were connected to the Internet (see figure 44).

Figure 44



Limitations of the data. The sample size limits ability to report for subnational units such as individual states, and for subgroups.

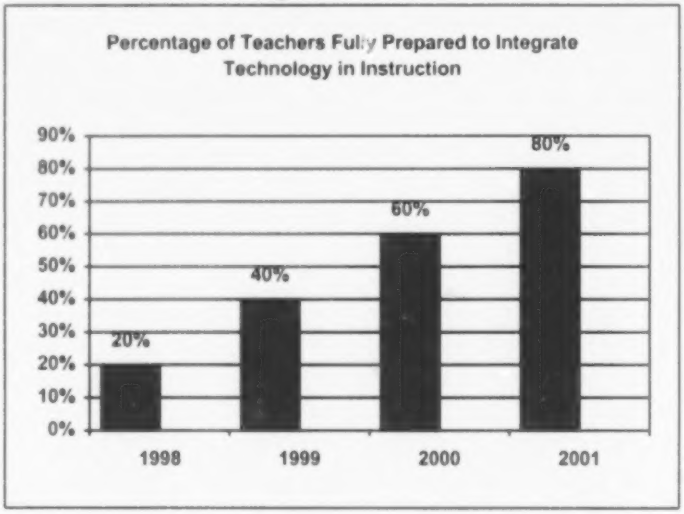
Verification/validation of measures: Items have been pretested and used repeatedly. Results are roughly consistent with results from other sources.

Data source(s). National Center for Education Statistic (NCES), Survey of Advanced Telecommunications in U.S. Public Elementary and Secondary Schools, March 1998. Next update: February 1999.

Indicator 40. By 2001, at least 50% of teachers will integrate high-quality educational technology, high-quality software, and the Internet (Information Superhighway) into their school curricula.

Indicator background and context. Computers, effective software, on-line learning resources, and the Internet hold promise to improve learning; increase the amount of time students spend learning; and engage students in problem solving, research, and data analysis. Teachers' integration of the use of technology into the curricula is a major determinant of technology's contribution to student learning, once access to computers is provided. In 1998, 20% of teachers reported that they were fully prepared to integrate technology in their instruction (see figure 45).

Figure 45

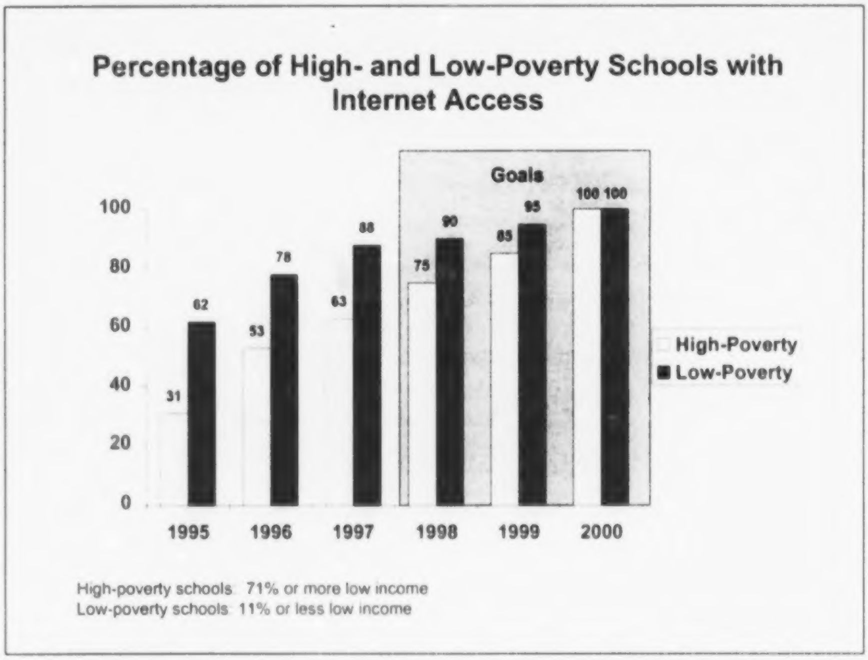


Limitations of the data. The Advanced Telecommunications Survey that provides these data is a survey of schools (not of teachers). The NAEP items do not provide good measurement of how intensively educational technology is used, or of how tightly it is aligned with curriculum.
Verification/validation of measures: NSF-OERI study of instruction and computer use by Becker-Anderson will provide detailed information on instructional use of educational technology for a national sample of schools.
Data source(s). NCES, Teacher Quality: A Report on the Preparation and Qualifications of Public School Teachers, January 1999. Next update: January 2000.

Indicator 41. Students in high-poverty schools and students with disabilities will have access to advanced technology (including assistive technology for students with disabilities) that is comparable to the access had by students in other schools by 2001.

Indicator background and context. Providing students with access to computers and using computers to support instruction require significant investments in hardware, software, wiring, and professional development, yet school districts vary greatly in their capacity to fund additional expenses. One of the most formidable challenges to meeting the nation's technology goals is ensuring that no community is left behind. Research has documented differences in access between high-and low-poverty schools, but also shows that access in all schools is increasing. In 1995, 31% of high-poverty schools and 62% of low poverty schools had access to the Internet (see Figure 46). By 1997, the percentage of schools with Internet access had increased to 63% for high-poverty schools and to 88% for low poverty schools.

Figure 46

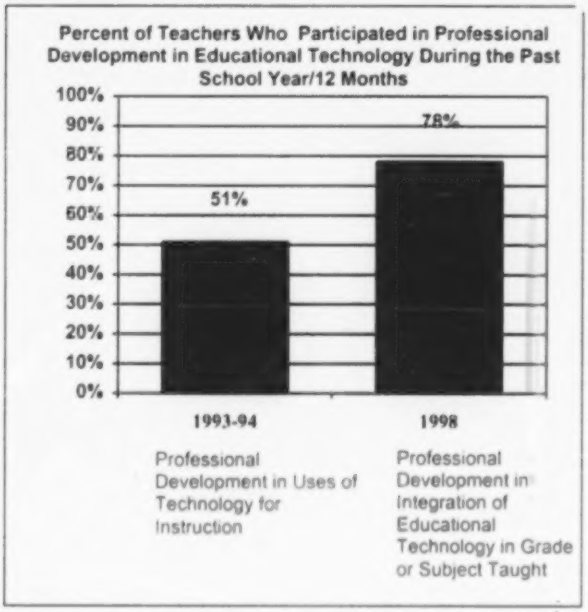


Limitations of the data. Measures are based on free and reduced-price school lunch data, which may underestimate school poverty levels, particularly for older students and immigrant students.
Verification/validation of measures. The Advanced Telecommunications Survey that provides this data is a survey of schools (not of teachers).
Data source(s). NCES, Advanced Telecommunications School Survey (FRSS), March, 1998. Next update: February 1999.

Indicator 42. At least 60% of teachers, school administrators, and school librarians will have been trained on use of computers and the Internet to help students learn by 2001.

Indicator background and context. Professional development is key to effective technology integration and to increased student learning. Teachers need access to technology and ongoing support while they learn and they need adequate time to acquire new skills to integrate technology into their schools' programs and activities. In 1993-94, 51% of teachers participated in professional development activities in the uses of technology for instruction (see Figure 47). In 1998, 78% of teachers participated in professional development activities related to the integration of education technology in the grades or subjects taught by the teachers.

Figure 47



Data source(s). NCES: *Teacher Quality: A Report of the Preparation and Qualifications of Public School Teachers* (1999).
Limitations of the data. Survey questions for the 1993-94 and 1998 data are similar but not identical. The indicator does not directly address the ability of staff to effectively use technology. This question will be addressed in future surveys.
Verification/validation of measures: *Measurement Error Studies at the NCES* (NCES 97-464).

Goal 2. Build a solid foundation for learning for all children.

In its pursuit of educational improvement, the Department of Education (ED) concentrates on two interrelated aims: excellence and equity. As part of this effort, we have identified several areas that must be addressed in order to build a solid foundation of learning for all children. One essential is to focus on key transition points in a child's educational journey. In addition, we must ensure that students with special needs not only have those needs addressed, but also are held to high academic standards, along with other students, so that they, too, benefit from the emphasis on excellence. In this way, all students will be prepared for productive employment, further education, and full democratic participation. We can achieve this goal by ensuring that:

1. All children enter school ready to learn. Research has made clear that children's early experiences have a profound effect on long-term learning. Moreover, children are more likely to be successful in the school environment if they arrive well prepared. A high-quality early childhood education is crucial for children with special needs.

2. Every child reads well and independently by the end of the third grade. Besides being an important skill in its own right, reading is the foundation for all later academic learning.

3. Every eighth grader masters challenging mathematics, including the foundations of algebra and geometry. Mathematics is an essential skill as well as the entree to learning science and technology. Moving to more advanced mathematics before high school is often a key to higher academic achievement, particularly for disadvantaged students.

4. Special populations participate in appropriate services and assessments consistent with high standards. If all children are to attain excellence, students with special needs must receive extra support, and our measure of success must be defined in terms of their academic achievement, as well as the performance of students overall.

To address these key areas, we must pursue strategies such as improved professional development, cooperation with state and local efforts to implement high academic standards and linked assessments, and financial support for innovative approaches to assist children with special needs. The Department of Education seeks to promote these strategies through its reauthorization proposal to strengthen federal elementary and secondary programs and through its ongoing monitoring, guidance, and leadership.

Objective 2.1: All children enter school ready to learn.

Context: Supporting parents to prepare children for school is important in building a solid foundation for learning for all children. Children's experiences within their families and their early childhood experiences are critical in fostering emergent literacy. Research on early brain development reveals that learning experiences introduced to children at an early age are directly linked to successful learning as children mature. Furthermore, children who enter school ready to learn are more likely to achieve to high standards than children who are inadequately prepared. High-quality early childhood programs are particularly important for children from families with limited education and for children with disabilities.

Federal programs that serve young children and their families, such as Head Start (including Early Head Start), Even Start, and IDEA Grants for Infants and Families and Preschool Grants can help to accomplish this objective. States also provide important preschool services for children. Because other federal agencies are also involved in working toward this objective, collaboration with other agencies that work with young children and their families is also important ED also provides leadership in early childhood education by supporting and disseminating research-based knowledge on effective policies and practices.

External factors: Much of the work done with young children—for example, through the Head Start program in the Department of Health and Human Services and state-sponsored preschool programs—is outside the purview of ED. ED will continue to collaborate with Head Start and provide leadership in aligning standards used in all early childhood programs. ED also needs to encourage states to adopt sound policies and practices in the programs they support in early childhood education.

Key strategies

- **Financial support for children who are educationally disadvantaged or have disabilities.**
  - ED's $135 million request for the Even Start program would support projects providing early childhood education, adult education, and parenting instruction that help prepare disadvantaged children to enter school ready to learn.
  - ED is requesting $390 million for the Special Education Infants and Families program to expand the numbers of children served, increase the focus on providing services in natural environments, and improve the scope and quality of early intervention services for children with disabilities, from birth through age 2, and their families.
  - The $406.4 million request for Special Education Preschool Grants program is intended to help states to serve additional children and help ensure that 3 to 5-year-old children with disabilities enter school ready to learn reading and math.
  - Continue funding for the research and development activities of the National Institute on Early Childhood Development and Education, which include supporting the National Center for Early Development and Learning at the University of North Carolina at Chapel Hill.

- **Provide leadership through the development and dissemination of research-based knowledge.** Support the implementation of good practice based on new knowledge of brain development, early intervention, and high-quality nurturing.
  - ED is requesting $25 million for the interagency Education Research Initiative to conduct joint research with NSF and NICHD on school readiness-related issues.
  - Develop a coordinated research agenda through the interagency Early Childhood Research Working Group convened by the National Institute on Early Childhood Development and Education (OERI). In addition to Department of Education members, this group includes members from the National Institutes of Health, Head Start, the Department of Agriculture, the Child Care Bureau, and the Bureau of Indian Affairs.

- Support a National Research Council (NRC) study on early childhood pedagogy that will identify what children between two and five years old should know in order to do well when they enter school.
- Develop a comprehensive information system for early childhood education, including a compilation of how state funds are used to support preschool services.
- Continue to support the Office of Special Education Programs' early childhood research institutes. These institutes address culturally and linguistically appropriate services; measuring growth and development; inclusion of preschool children in child care, Head Start, public school, and community settings; increasing learning opportunities that parents, caregivers, and community members can use to enhance learning; service and utilization patterns; and service coordination.

Selected Accomplishments

Hosted Reading Summit

- All the major program offices contributed to planning and sponsoring a Reading Summit for state teams which described the findings of the National Research Council's (NRC) report, Preventing Reading Difficulties in Young Children. Over 650 individuals attended the summit from 50 states and territories.

Partnered to get the word out

- Department staff collaborated with Head Start in the development of materials to encourage early childhood professionals to use the arts as a learning vehicle.

Set out to improve agency and department coordination

- The Federal Interagency Coordinating Council (FICC) developed a three-year strategic plan to improve coordination among agencies and departments involved in early childhood education policy and program implementation.

- Several ED offices, along with Head Start, have held a series of meetings to develop joint funding strategies to increase early literacy and language skills in young children at-risk for reading failure.

Recognized importance of early intervention

- OSERS and OBEMLA have sponsored a strand on the importance of early intervention for children at risk for reading difficulties at the annual conference of the National Association for Bilingual Education (NABE). Nearly 100 individuals attended the early intervention strand.

- **Continuous improvement of ED's early childhood education programs.**
  - Encourage agreements between Even Start participating parents and Even Start projects that would establish developmentally appropriate outcomes for children and provide for mutual responsibility for achievement of those outcomes.
  - Facilitate and assess approaches to continuous program improvement in Even Start projects based on clear outcome goals for children and families, program quality standards, rigorous and objective assessment of program results, and the use of evaluation results to monitor progress and enhance program quality. Help Even Start projects to set appropriate performance goals and measure progress accordingly. Provide assistance to projects to conceptualize progress indicators for the entire Even Start age range.
  - Strengthen monitoring and assistance in early childhood education programs for children with disabilities to focus on identifying areas in need of improvement and good practices.

- **Collaboration with other objectives in ED's Strategic Plan.**
  - Work with the Partnership for Family Involvement and the Reading Excellence Act program to provide training for tutors to work with special populations, such as children from low-income families, or children with limited English proficiency or disabilities.

Coordination with other federal agencies

- **Coordination of indicators.** Work with the Head Start Bureau to more closely align indicators of progress and quality between the Even Start program and the Head Start program.

- **HHS initiative**. Work with HHS to coordinate ED's preschool programs with the efforts of the proposed "Early Learning Fund," which, if passed, would provide funds to improve the safety and quality of child care, and enhance early childhood development.

- **Information exchange, research coordination.**
    - Use the interagency Early Childhood Research Working Group convened by the National Institute on Early Childhood Development and Education to exchange and share research-based information about young children and their families and to provide opportunities for interagency research collaboration. Use the findings from this exchange, such as the information provided by the National Institute of Child Health and Human Development on language and literacy development, to improve programs across federal departments.
    - Facilitate collaboration by making federal legislation among programs compatible and encouraging interagency agreements at the state level; examine how collaborative efforts are evolving at the state and local levels.
    - Continue work with NSF and NICHD on the interagency research initiative that will focus on school readiness.
    - Children's Health Insurance Program (CHIP): Work with the White House, HHS, and other federal agencies to conduct outreach to educators and families about the availability of free and low-cost insurance for children.

- **Coordination of strategies for education services to young children.** Use the Federal Interagency Coordinating Council (FICC) to coordinate strategies for children with disabilities and their families.

Programs supporting this objective

Grants for services

- Head Start
- Title I
- IDEA Grants for Infants and Families (Part C)
- IDEA Preschool Grants (Part B)
- IDEA State Grants (Part B)
- Even Start
- Inexpensive Book Distribution (Reading Is Fundamental)
- Ready to Learn Television

Research

- National Education Research Initiatives
- IDEA: Research and Innovation (Part D)
- Statistics and Assessment

Technical assistance and dissemination

- Comprehensive Regional Assistance Centers
- IDEA Parent Training and Information Centers
- IDEA Technical Assistance and Dissemination (Part D)
- Goals 2000 Parent Information and Resource Assistance Centers

Performance indicators and charts

Performance indicators in the Strategic Plan for objective 2.1 focus on indicators that track the access to learning activities for children prior to kindergarten.

Indicator 43. Kindergarten and first-grade teachers will increasingly report that their students enter school ready to learn reading and math.

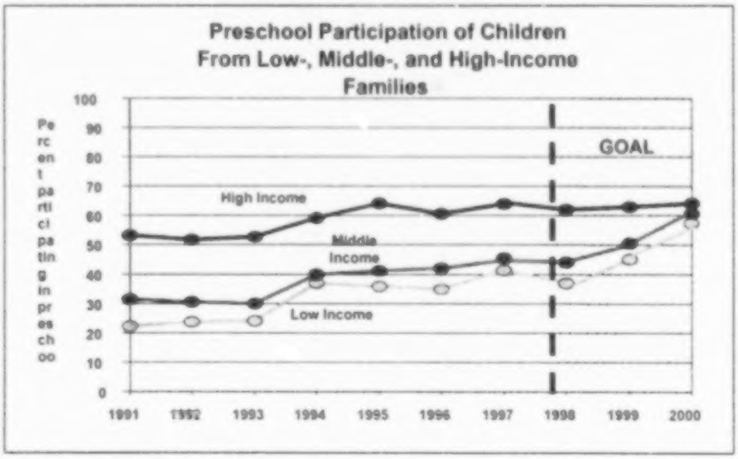
Indicator background and context. There are currently no available data for this indicator. NCES' *Early Childhood Longitudinal Study: Kindergarten Cohort* will ask teachers to evaluate the sampled kindergarten children's skills in language and literacy and mathematics, including those of children with disabilities. This study will also directly assess children's skills. These data will be available for the year 1998-99.

Limitations of the data. The ECLS data are longitudinal; no follow-up data collected on subsequent cohorts of children entering kindergarten through this study are planned at this time.
Verification/validation of measures.
Data source. National Center for Education Statistics, Early Child Longitudinal Study; Kindergarten Cohort.

Indicator 44. The disparity in preschool participation rates between children from high-income families and children from low-income families will become increasingly smaller.

Indicator background and context. In 1991, 22 percent of 3- and 4-year-olds from low-income families were enrolled in preschool programs, compared with 32 percent of those from middle-income families and 53 percent of those from high-income families (see figure 48). In 1994, 37 percent of 3- and 4-year-olds from low-income families were enrolled in preschool programs, compared with 40 percent of those from middle-income families and 59 percent of those from high-income families. Despite the importance of improving preschool participation rates for at-risk children, the disparity in preschool participation rates had not improved by 1997.

Figure 48



Limitations of the data. Starting in 1994, these data were collected using new procedures. Thus, data before 1994 may not be comparable with figures after 1994. In addition, these data measure only enrollment in preschool programs, not the quality of the programs.

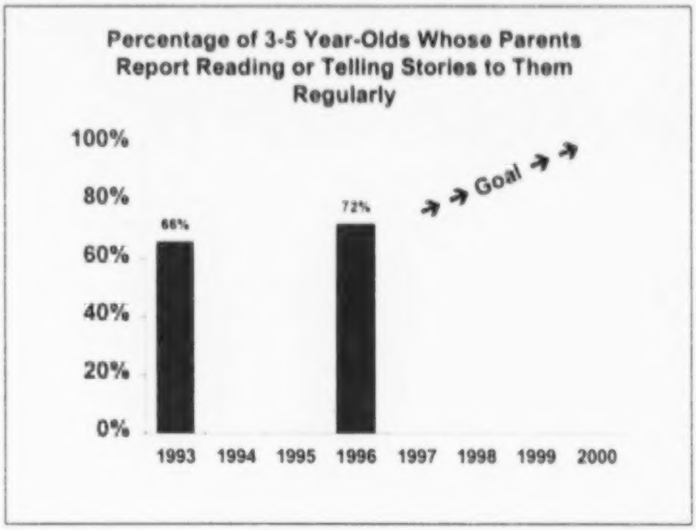
Verification/validation of measures. The Current Population Survey (CPS) provides estimates of school enrollment and social and economic characteristics of students. The sample of 60,000 households is scientifically selected to represent the civilian non-institutional population. Interviewers (both by telephone and personal visit) usually obtain responses from more than 93 percent of their eligible cases. Each October, the CPS includes supplemental questions on the enrollment status of the population age 3 and older.

Data source. U.S. Department of Commerce, Bureau of the Census, Current Population Survey, unpublished tabulations, updated annually.

Indicator 45. The percentage of 3-to-5-year-olds whose parents read to them or tell them stories regularly will continuously increase.

Indicator background and context. Reading to children helps them build their vocabularies, an important factor in school success. Thus, frequent reading by parents to their children is an important activity in preparing children for school. Only two-thirds of preschoolers were read to or told stories regularly in 1993 (see figure 49). By 1996, the proportion of preschoolers whose parents read to them or told them stories regularly had increased to 72 percent.

Figure 49



Limitations of the data. Parents may over-report reading to their children, as it is the socially acceptable answer.

Verification/validation of measures. The National Household Education Survey (NHES) is a data collection system of the National Center for Education Statistics (NCES) that is designed to address a wide range of education-related issues. The NHES:93 survey identified and screened more than 64,000 households.

Data source. National Center for Education Statistics, National Household Education Survey, 1993, 1996 (to be updated in 1999).

Objective 2.2: Every child reads well and independently by the end of the third grade.

Context: Reading is the foundation of all other skills essential for learning, yet the 1998 National Assessment of Educational Progress reports that only 62 percent of 4th graders read at the basic level or higher. This is alarming because research shows that students who fail to read well by 4th grade are at greater risk of educational failure. Mastering basic skills like reading is the essential first step to reaching challenging academic standards in all subjects.

The Department of Education's key strategies to accomplish this objective include improving K-3 reading instruction through support for the Reading Excellence program, Title I, Even Start, and other programs supporting reading; expanding community-wide extended learning time programs in reading; coordinating Department and other federal agency programs to ensure high quality services for special populations; coordinating and promoting reading strategies, programs, and research within and outside ED; and promoting early childhood literacy activities in families and communities as well as in child care settings and preschools.

External factors: Increasing the reading skills of American children depends not only on improving classroom instruction, but also on encouraging parents to take a more active role in their children's reading from early childhood onward. While we know much more about what contributes to effective teaching in reading, getting this information out to colleges and universities that prepare teachers for the classroom and to teachers already in classrooms remains a challenge. The National Research Council reading research synthesis, "Preventing Reading Difficulties in Young Children," reports that many teachers do not have the necessary skills to teach reading. The Reading Excellence Act provides important, new support to strengthen reading at home and in school. Furthermore, the Department's research and dissemination, as well as special program activities in reading, will further support and strengthen teacher preparation, as well as school and home activities in reading.

Key strategies

- **Improvement in K-3 reading instruction.** Implement the Reading Excellence Act at $260 million, which will improve the instructional practice of K-3 reading teachers in local communities across the country. Expand dissemination of high quality reading instruction and interventions from the National Research Council study. Provide $1.4 billion to the Class Size Reduction and Teacher Financing Initiative to help ensure that every child receives individualized reading attention.

- **Community-wide extended learning time programs in reading.** Expand the 21st Century Community Learning Centers program to $600 million to support approximately 7,700 after-school learning centers that include help in reading and literacy-related services; provide $934 million for Federal Work-Study to 100,000 Work-Study students for ARC sites and other community extended learning, literacy efforts. (The Reading Excellence Program also supports local tutorial assistance grants that fund extended learning time programs.) Develop new family-school-community Compact for Reading materials for use by schools and communities in strengthening family involvement and support of school reading activities. Encourage summer reading programs in schools, camps, libraries, and community-based organizations.

Selected Accomplishments

Passed Reading Excellence Act

- Proposed, and Congress passed, the Reading Excellence Act to improve reading instruction in the early grades and extend learning time through tutorial programs.

Increased the availability of extended learning opportunities

- Expanded the 21st Century Community Learning Centers program to provide extended learning opportunities before and after school to 380,000 children .

Led new consensus on practices through reading research

- Supported the development of the National Research Council's report, "Preventing Reading Difficulties in Young Children." This major synthesis of the research on reading indicates a new consensus for teaching preparation, practice, teacher training, and family involvement among other areas.

Hosted Reading Summit

- Hosted the first National Reading Summit, which further disseminated the findings of the National Research Council's report, "Preventing Reading Difficulties in Young Children." Over 650 individuals attended the summit with teams from 50 states and territories.

Expanded technical assistance

- Expanded Summer Pilot Sites from 14 to 59 (at least one in each state) and developed the America Reads Challenge Tool Kit. The Tool Kit provides over 50 different basic materials and resources needed to develop and implement large or small community-based literacy efforts for children K-3.

Signed On over 1,200 colleges and universities to America Reads

- Expanded the Federal Work-Study component of America Reads by signing on over 1,200 colleges and universities to the America Reads Challenge, hosting 16 regional training sessions, awarding 61 subcontracts for reading partnerships across the country, and producing recruitment materials for colleges and universities.

Increased the President's Coalition to over 275 organizations

- Expanded the President's Coalition to include over 275 organizations and increased their involvement with America Reads and their commitment to literacy. Examples include: Phi Theta Kappa has chosen the America Reads Challenge as its two-year international service program; the General Federation of Women's Clubs has made literacy a priority for all of its state and local chapters; 7-Eleven and the creators of the television show Wishbone on PBS collaborated on creating tutor recruitment materials for the FWS program.

Increased availability of materials through Web site development

- Developed and expanded a Department Web site to increase the availability of reading-related materials. These materials are accessible through the America Reads homepage, http://www.ed.gov/inits/americareads.

Launched new research initiative

- With NSF and NICHD, launched the Interagency Education Research Initiative to fund research on school readiness for learning reading and mathematics; K-3 learning in reading and math; and teacher training in content areas and the science underlying cognitive development and learning.

- **Services for special populations**. Encourage coordination among regular education, Title I, special education, and bilingual education reading programs for children to strengthen services to special populations. Provide $8 billion in Title I Grants to local educational agencies to support state and local efforts to help more than 12 million disadvantaged students; provide $4.7 billion for the Special Education Grants to States and Preschool Grants programs to help states and school districts improve the quality of education provided to students with disabilities; provide $50 million for a new Special Education Primary Education Intervention program to help states to intervene early with children who have marked developmental delays in learning to read and in other areas; provide $259 million to Bilingual Education Instructional Services to help increase the proportion of children with limited English proficiency that meet or exceed the basic level in reading.

- **Early childhood literacy activities in child care settings and preschools.** Partner America Reads community efforts with Even Start and Head Start family literacy programs and Ready to Learn Television. Disseminate quality early literacy materials to family/home child care settings and preschools. Provide $145 million to Even Start to support family literacy projects for children from birth through age 7.

- **Research, evaluation, and dissemination**. Implement a coordinated research and evaluation agenda for reading that builds on current and past research. Promote the implementation of National Academy of Sciences (NAS) reading findings; collaborate with National Institute of Child Health and Human Development (NICHD) in this research effort. Support the NAS study on early childhood pedagogy and disseminate findings. Develop an expert research panel on reading at OERI to identify and validate research-based models of effective practice. Request $25 million in 2000 to add to NSF's $22 million interagency Education Research Initiative (ERI) that is being jointly implemented by NSF, ED, and NICHD.

- **Coordination and collaboration**. More effectively coordinate and promote reading strategies, programs, and research within and outside ED. Continue to develop interagency collaborations and leverage key reading professional organizations like the International Reading Association, National Council for Teachers of English, National Reading Conference and American Library Association. Encourage community-level coordinated system reform in reading by disseminating "A Compact for Reading."

Coordination with other federal agencies

- **Corporation for National Services (CNS)**. Coordinate the America Reads Challenge (ARC) President's Coalition members with CNS grantee sites using CNS volunteer tutors; coordinate information and assistance to Challenge sites from State Commissioners and State Education Agency assistance to CNS sites; encourage cross-use of CNS and Department publications for the Challenge as well as collaboratively develop materials; encourage cross-use of CNS and Department web sites; and encourage cross-use of College Work Study students to support CNS and Department ARC sites.

- **Health and Human Services (HHS)**. Coordinate development and dissemination of reading publications; coordinate outreach to early childhood caregivers (Head Start and Resource and Referral Network); and coordinate community collaboration of HHS and Department funded activities for reading and early childhood.

- **National Academy of Sciences (NAS).** Support dissemination and outreach based on NAS study, "Preventing Reading Difficulties in Young Children." Support NAS study on early childhood pedagogy.

- **National Institute for Literacy (NIFL).** Collaborate with NIFL on application reviews and dissemination for the Reading Excellence Act.

- **National Science Foundation (NSF)/National Institute of Child Health and Human Development (NICHD).** Collaborate with NICHD and NSF on the Education Research Initiative (ERI) interagency research program (see above).

- **National Institute of Health (NICHD).** Collaborate with NICHD on application reviews for the Reading Excellence Act. Also collaborate on a five-year study on the acquisition of English and on the teaching and learning of reading.

- **Army**. Collaborate with the Army to train staff directors to use ARC: READ*WRITE*NOW! interventions and material in the Army's extended learning programs.

- **Bureau of Indian Affairs**. Coordinate with the Department of the Interior's Bureau of Indian Affairs schools to encourage extended learning in reading programs that support the Challenge.

Programs and funding supporting this objective:

Grants supporting reading services
- Title I
- Even Start
- Reading Excellence
- Bilingual Education
- IDEA State Grants (Part B)
- Inexpensive Book Distribution
- Ready to Learn Television

Tutoring and after-school programs
- Federal Work-Study
- 21st Century Community Learning Centers

Standards for reading instruction
- Goals 2000 Educate America Act

Technical assistance
- Comprehensive Regional Assistance Centers

Initiatives supporting reading
- Class-Size Reduction Initiative
- HHS' Childcare Initiative
- IDEA Primary Education Intervention

Teacher training
- Eisenhower Professional Development
- IDEA: Personnel Preparation
- National Writing Project

Research
- Regional Education Labs
- Statistics and Assessment
- IDEA: Research and Innovation
- National Education Research Institutes

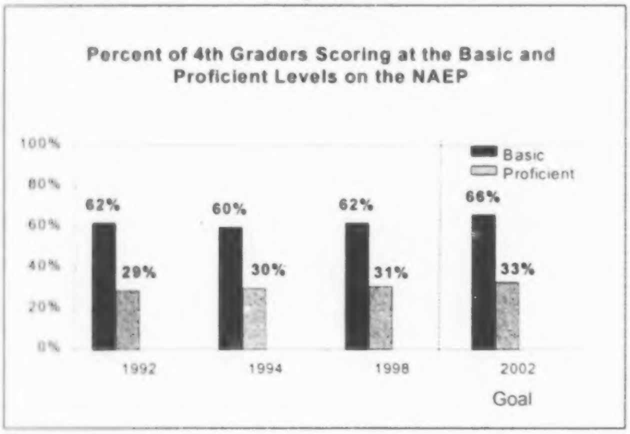
Performance indicators and charts

Performance indicators in the Strategic Plan for objective 2.2 focus on expected outcomes in student achievement in reading, as well as indicators that track the implementation of recent programs to advance these outcomes.

Indicator 46. Increasing percentages of fourth-grade students will meet basic and proficient levels in reading on the National Assessment of Educational Progress (NAEP). By 2002, 66% of 4th grade students will score at or above the basic level in reading on the NAEP, and 32% of 4th grade students will score at or above the proficient level in reading on the NAEP.

Indicator background and context. Over the last 30 years, NAEP scores for 4th graders have been relatively flat (around 60% at basic or higher levels). These statistics are disturbing because they indicate that, since the 1970s, around 40% of the 4th grade population cannot read at the basic level of proficiency (see Figure 50).

Figure 50



Limitations of the data. NAEP data are not available annually. They are or will be available for 1994, 1998, 2000, and 2002.

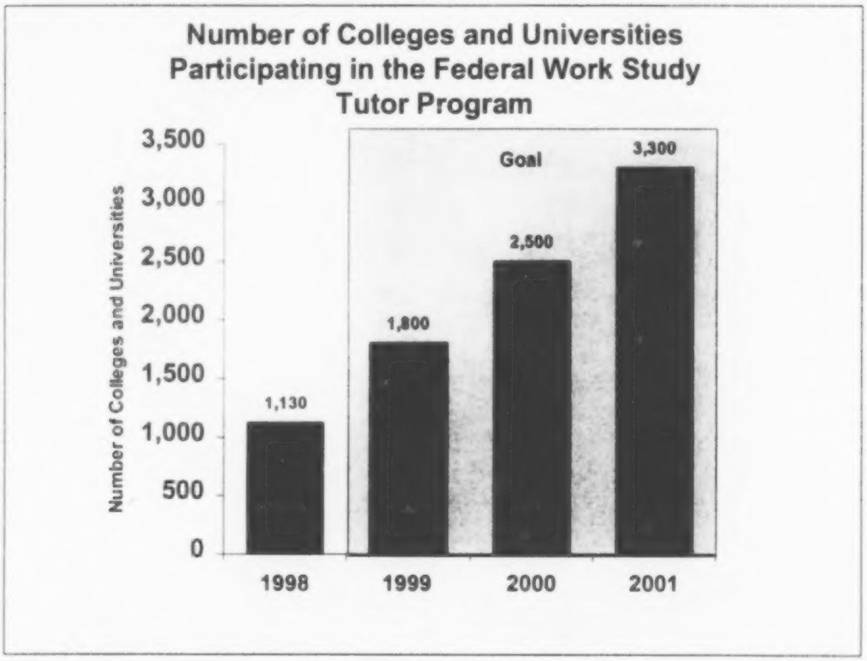
Verification/validation of measures. NAEP data are rigorously analyzed for reliability and validity.

Data source. NAEP (1992-present); next collection in 2000.

Indicator 47. By 2001, increasing numbers of colleges and universities will employ America Reads tutors through the Federal Work Study Program.

Indicator background and context. On July 1, 1997, the U.S. Department of Education encouraged Federal Work-Study students to serve as reading tutors by waiving the requirement that employers pay part of their wages. To date, 1130 colleges and universities employ America Reads tutors (see Figure 51).

Figure 51



Limitations of the data. None. Data on the numbers of colleges and universities employing Federal Work Study students are available on an annual basis.
Verification/validation of measures. Data are verified through annual counts.
Data sources. Fiscal Operations Report and Appreciation to Participate, 1998.

Indicator 48. Increasing percentages of teachers of students in pre-kindergarten through third grade will receive ongoing, intensive professional development to enable them to successfully teach reading to diverse students, including those who experience difficulties in learning to read and those with disabilities.

Indicator background and context. The National Research Council (NRC) report on reading confirms that professional development is the single most powerful in-school factor affecting the children's performance in reading.

Limitations of the data. No data currently available.
Verification/validation of measures. N/A.
Data sources. No data is currently available. Data elements will be added to the teacher survey of the National Longitudinal School Survey. Data elements could also be added to the Staff and School Survey to obtain information on hours of pre-service and in-service, follow-up training using teacher mentors, and so forth.

Indicator 49. Increasing numbers of children participating in Head Start, Even Start, Title I Programs will make significant gains on measures of language development and reading readiness, so they are well prepared for grade-appropriate reading instruction.

Indicator background and context. Findings from the NRC study on reading show that preparation for school—at home and in early childhood programs--is essential to the performance of children in reading.

Limitations of the data. While some data are available from the National Even Start Evaluation (1995-96) on the performance of children in school readiness and language development, there is currently no comparable assessment that can provide trend data for this indicator. Furthermore, no current data are available on pre-K Title I or Head Start student performance.

Verification/validation of measures. Even Start evaluation data is determined reliable and valid.

Data sources. The Department will be discussing the development of baseline and trend data for this indicator shortly.

Objective 2.3: Every eighth-grader masters challenging mathematics, including the foundations of algebra and geometry.

Context: Mathematics is the gateway to learning many advanced skills and a prerequisite for success in many careers. Results from the Third International Mathematics and Science Study (TIMSS), which compared the mathematics and science achievement of students from the U.S. with that of students in other countries, demonstrated our weak performance in middle and high school mathematics. Achievement in middle school clears the way for students to take rigorous high school mathematics and science courses—keys to college entrance and success in the labor force. However, many elementary and middle school mathematics teachers are poorly prepared to teach higher level mathematics, and do not receive sufficient professional development. The curriculum in the United States is broader than higher performing countries, yet it lacks depth. In addition, teachers have less time for planning their lessons, reflecting on their teaching strategies, and using other teachers as resources.

The ED Mathematics Initiative, now referred to as "America Counts," represents an effort to strengthen the discipline focus among various programs within the Department. The challenge is to create opportunities within Congressional guidelines and appropriations that support the goal of higher student achievement in mathematics.

External factors: ED is working closely with NSF to better coordinate federal efforts to improve mathematics education, but states and districts will need to simultaneously intensify their efforts in order to improve student achievement in mathematics.

Key strategies

- **Eisenhower Professional Development Federal Activities budget request**. Support the ED-NSF "America Counts" Action Strategy to improve mathematics instruction and achievement through the $30 million request in funding for Eisenhower Professional Development Federal Activities. (This is coupled with an NSF request and their intensified focus on middle grades mathematics.) A new $6 million program would improve teachers' ability to teach mathematics well by helping school districts identify the professional development needs of their mathematics teachers and helping them build the requisite content knowledge and pedagogical skills to effectively teach rigorous mathematics.

- **Build public understanding of the mathematics that our students must master**.
  - Launch ED-NSF national public engagement campaign to improve public understanding of what challenging middle school mathematics looks like and show how every adult can support efforts toward higher mathematics achievement for all students. For example, *The Formula for Success: A Business Leader's Guide* describes ways in which business leaders can actively participate in the improvement of mathematics and science education.
  - Develop and widely disseminate clear, research-based information on the importance of challenging middle school mathematics and the leverage that high quality middle school mathematics offers in improving mathematics education, K-16. The request for Eisenhower Consortia includes an additional $2.5 million to support technical assistance in mathematics and science education. Use the findings from TIMSS to promote increased knowledge about U.S. standards, curriculum and teaching practices.

- **Improve the preparation and ongoing professional development of mathematics teachers.**
  - Emphasize the importance of providing sustained, intensive, high-quality professional development for mathematics teachers. The $335 million request for Eisenhower Professional Development State Grants helps states train teachers to prepare their students to meet high standards in all core subjects, but the program reserves $250 million for professional development in mathematics and the sciences.
  - Promote the improved preparation of teachers of mathematics by working with professional mathematics organizations to develop exemplary standards for the mathematical preparation of K-12 teachers and by supporting partnerships with the Title II funds of the Higher Education Act to improve teacher preparation programs.

Selected Accomplishments

Built public understanding of the mathematics needed by U.S. students for the 21st century

- ED developed, produced and sold more than 4,000 copies of *Attaining Excellence: A TIMSS Resource Kit.* The kit provides a wealth of information about student achievement, teaching, and curricula from the Third International Mathematics and Science Study (TIMSS), the world's largest, most comprehensive, and rigorous international comparison of mathematics and science education. The Eisenhower Consortia and Clearinghouse provided over 100 training sessions on optimal use of these data-rich resource kits to make the findings widely known.

Established a national reform agenda and provided technical assistance

- ED and the National Science Foundation (NSF) released in February 1998 *An Action Strategy for Improving Achievement in Mathematics and Science*, which targeted middle grades mathematics as a leverage point. As part of this action strategy, the National Academy of Sciences, the National Council of Teachers of Mathematics and the National Middle School Association hosted a Convocation on Middle School Mathematics with the goal of establishing an agenda for action appropriate to the content and learning demands of early adolescence. The Eisenhower Regional Consortia and the NSF are coordinating their technical assistance efforts with a focus on middle grades.

Developed and widely disseminated high quality materials on mathematics

- Several high quality mathematics materials – including *Improving Mathematics in Middle School: Lessons from TIMSS and Related Research*, *Ideas that Work: Mathematics Professional Development*, *Mathematics Equals Opportunity*, and *The Formula for Success: A Business Leader's Guide* – have been developed and widely disseminated to ongoing demand. Web site has been developed and updated to improve accessibility.

Worked to ensure coordination of local, state and federal resources in support of high-quality and coherent mathematics programs

- Provided technical assistance to states and districts through fall 1998 regional conferences co-sponsored with NSF. Forthcoming reports from these conferences will highlight strategies emerging from a ED-NSF funded study to better coordinate use of federal, state and local resources to improve mathematics achievement. Technical assistance was offered to Title I State Directors to determine the allocation of funds for math.

- **Encourage a more challenging and engaging curriculum for all students**. In 1999, an expert panel will release a list of mathematics programs and instructional materials that have been identified as promising or exemplary to help teachers and administrators select and implement high-quality curricula. Promote contributions to and use of the Federal Resources for Educational Excellence

(FREE) Web site of teaching and learning resources in mathematics and Gateways to Educational Materials (GEM) Web site of lesson plans for discipline-specific and grade-specific topics.

- **Ensure that local, state, and federal resources are coordinated in support of high-quality and coherent mathematics programs for all children, including disadvantaged, low-achieving students.**
  - Support state and local efforts to help disadvantaged, low-achieving students meet challenging state and performance standards in mathematics (states were required to have standards in place by the 1997-98 school year through the Title I Grants to Local Educational Agencies). The Department is requesting $461 million for Goals 2000 State Grants, which will support the development of assessments aligned with content and performance standards in mathematics.
  - In partnership with NSF, provide technical assistance to states and districts through regional conferences and reports on how to better use federal, state and local resources to improve mathematics achievement.
  - Disseminate a report based on a survey and case studies of districts that are demonstration projects for the coordinated use of resources. An increase to the Eisenhower Regional Consortia program will expand their technical assistance efforts to teachers and schools particularly in high-poverty areas.

- **Provide extra help and additional learning time to students who need it**. To encourage colleges and universities to support mathematics tutoring, effective July 1, 1999, the federal government will pay 100% of the wages of Work-Study students who serve as mathematics tutors. The Work-Study waiver enables college students who have an affinity for mathematics and science to gain valuable work experience as tutors while taking an active role in helping students prepare for algebra and geometry by 8th grade and rigorous college-preparatory mathematics courses in high school.

- **Use research and assessment for continuous improvement.** The National Academy of Sciences is conducting a Mathematics Learning Study, scheduled for completion in spring 2000, which will examine the factors that lead to successful mathematics learning and will provide research-based recommendations for the improvement of mathematics teaching and learning. ED promoted the 1999 replication of the TIMSS assessment to interested states and districts that want to benchmark their efforts against international standards. The National Institute on Student Achievement, Curriculum, and Assessment will continue support for research conducted by the National Center for Improving Student Learning and Achievement in Mathematics and Science at the University of Wisconsin.

- **Extend mathematics learning time opportunities in GEAR UP and 21st Century Community Learning Centers**. Ensure that students have access to the gateway mathematics and science courses that prepare them for college. The President's FY 2000 budget includes $240 million for GEAR UP to promote partnerships between higher education and middle or junior high schools in low-income communities that can raise students' expectations for college and their potential for success. The budget also includes $600 million for the 21st Century Community Learning Centers program, which ensures that students are in safe environments after school where learning skills can be enhanced.

Coordination with other federal agencies

- **ED-NSF interagency strategy.** Coordinate with Departments of Commerce, Interior, Transportation, Defense, Energy, the Environmental Protection Agency, National Institutes of Health, and the National Aeronautical Space Administration (NASA), in partnership with NSF, to implement an interagency action strategy for improving achievement in mathematics and science. This strategy will lay out a coordinated set of activities for NSF and ED, as well as other agencies, and guide budgetary and programmatic priorities.

Programs supporting this objective

State Grants
- Title I
- IDEA State Grants (Part B)

Standards for mathematics instruction
- Goals 2000: Educate America Act

Teacher training
- Eisenhower Professional Development State Grants
- Higher Education Act (HEA), Title II

Technical assistance and dissemination
- Fund for the Improvement of Education
- Eisenhower Federal Activities
- Eisenhower Regional Consortia
- Comprehensive Regional Assistance Centers
- National Dissemination Activities

Research
- National Education Research Institutes
- Regional Education Laboratories

Federal Activities
- IDEA: Research and Innovation
- Statistics and Assessment

Performance indicators and charts

Performance indicators for objective 2.3 focus on expected outcomes for students in mathematics and on progress in implementing key strategies to achieve these results. The Department is assessing progress toward this objective by monitoring national trends in student achievement in mathematics, teacher preparation and ongoing professional development, student course taking, and schools' access to and use of information on best practices for mathematics instruction.

Indicator 50. Increasing percentages of eighth-graders reach the basic, proficient, and advanced levels in math on the National Assessment of Educational Progress (NAEP); on international assessments, at least 60% will score at the international average by 2002.

Indicator background and context. U.S. students have shown progress in their mathematics achievement on the National Assessment of Educational Progress (NAEP) over the years, yet many still fail to achieve to the high standards needed for future success. In 1996, 62 percent of students scored at or above the basic level on NAEP compared with 52 percent in 1996 (see Figure 52). In 1995, 45 percent of U.S. eighth-graders scored at the international average on the Third International Mathematics and Science Study (TIMSS; see Figure 53). Although U.S. 4th graders performed above the international average in math, our 8th graders and 12th graders scored below the international average.

Figure 52

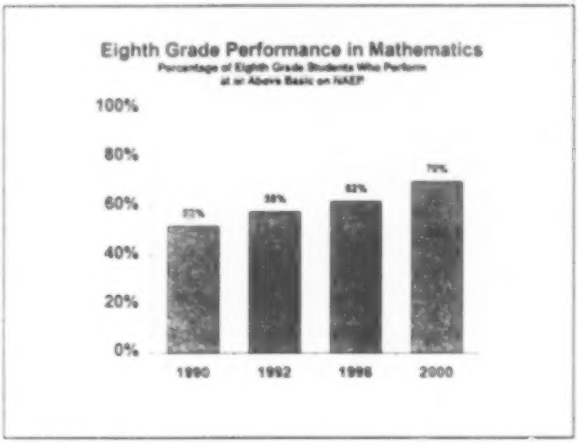
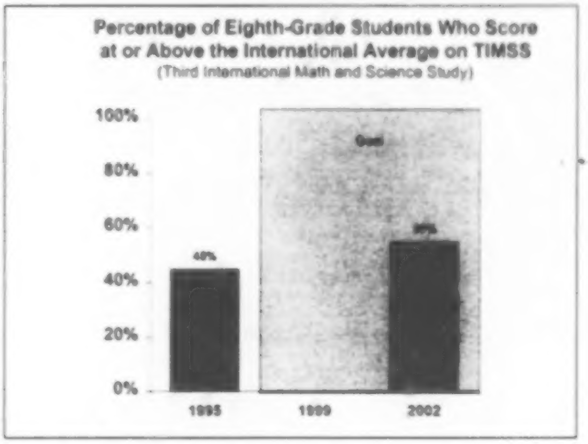


Figure 53

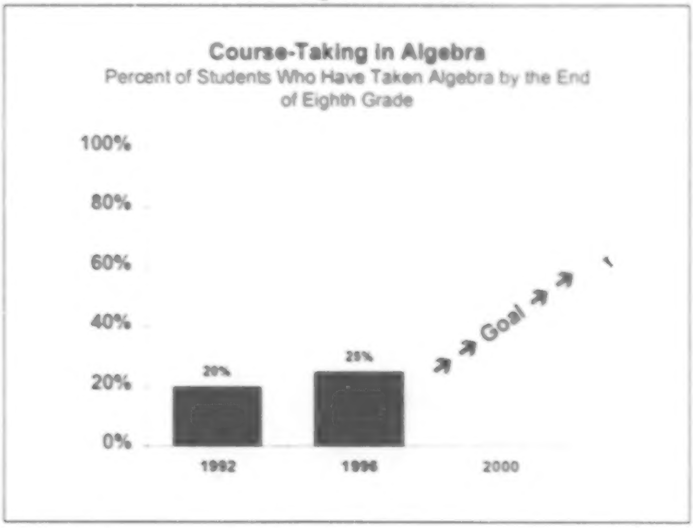


Limitations of data. The NAEP main mathematics assessment is presently only given every four years.
Verification/validation of measures. The NAEP assessment will be given again in 2000 and the TIMSS replication is scheduled for the spring of 1999.
Data source. National Assessment of Educational Progress (NAEP), 1990, 1992, 1996 Mathematics Assessment. The Third International Mathematics and Science Study (TIMSS), 1995 8th-grade Assessment.

Indicator 51. Each year more students will have a solid foundation in algebra and geometry by end of 8th grade.

Indicator background and context. The 8th grade is a critical point in mathematics education. Achievement at that stage clears the way for students to take rigorous high school mathematics and science courses—keys to college entrance and success in the labor force (*Mathematics Equals Opportunity*, White Paper, U.S. Department of Education, October 20, 1997). Understanding basic concepts in algebra and geometry is a prerequisite for most higher-level mathematics courses.

Figure 54

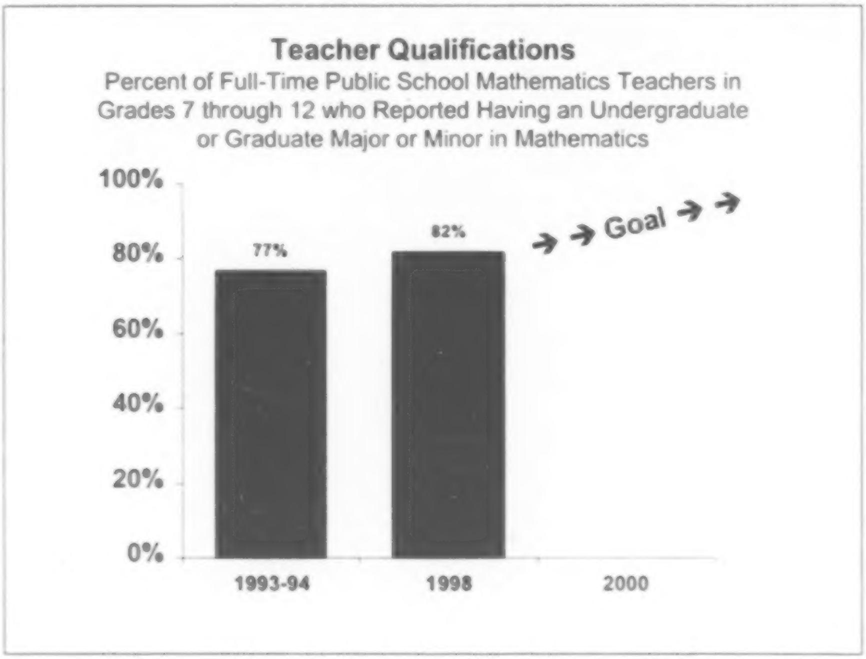


Limitations of data. None.
Verification/validation of measures. The NAEP student background questionnaire will be a component of the 2000 Mathematics Assessment.
Data source. National Assessment of Educational Progress (NAEP) student background questionnaire, 1992, 1996 Mathematics Assessment.

Indicator 52. Each year, more new teachers will enter the workforce with adequate preparation to teach challenging mathematics to students in kindergarten through eighth grade.

Indicator background and context. Teachers must know substantial mathematics and have strong pedagogical skills if they are to be effective in helping their students meet high standards (*An Action Strategy for Improving Achievement in Mathematics and Science*, U.S. Department of Education, February 1998). Approximately 60% of 8th grade students had teachers who had majors in mathematics or mathematics education in 1992 and 1996 (see Figure 55).

Figure 55

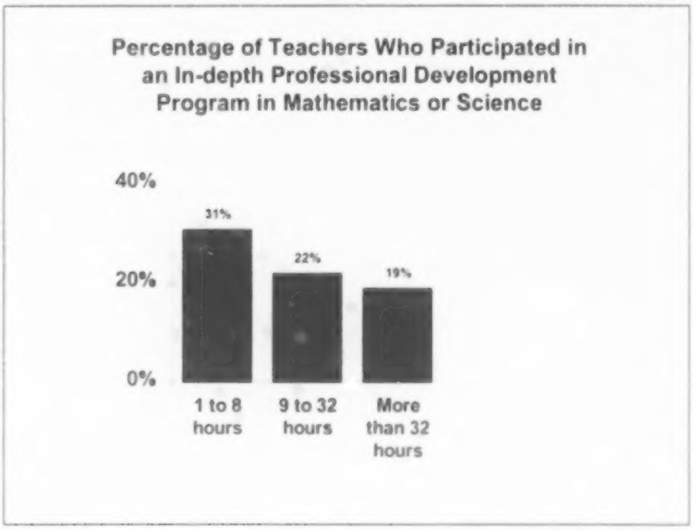


Limitations of data. None identified.
Verification/validation of measures. The School and Staffing Survey (SASS) will be repeated in 1999-2000.
Data Source: SASS, 1993-94; *Teacher Quality: A Report on Teacher Preparation and Qualifications of Public School Teachers, 1999.*

Indicator 53. Each year, more teachers of mathematics in grades 5-8 will complete intensive professional development to enable them to teach challenging mathematics.

Indicator background and context. To assist teachers in teaching challenging mathematics, teachers need in-depth professional development activities that are based on mastery of mathematical content and tied to high-quality instructional materials. In 1993-94, only 28 percent of U.S. teachers of math participated in an in-depth professional development program in mathematics (see Figure 56).

Figure 56

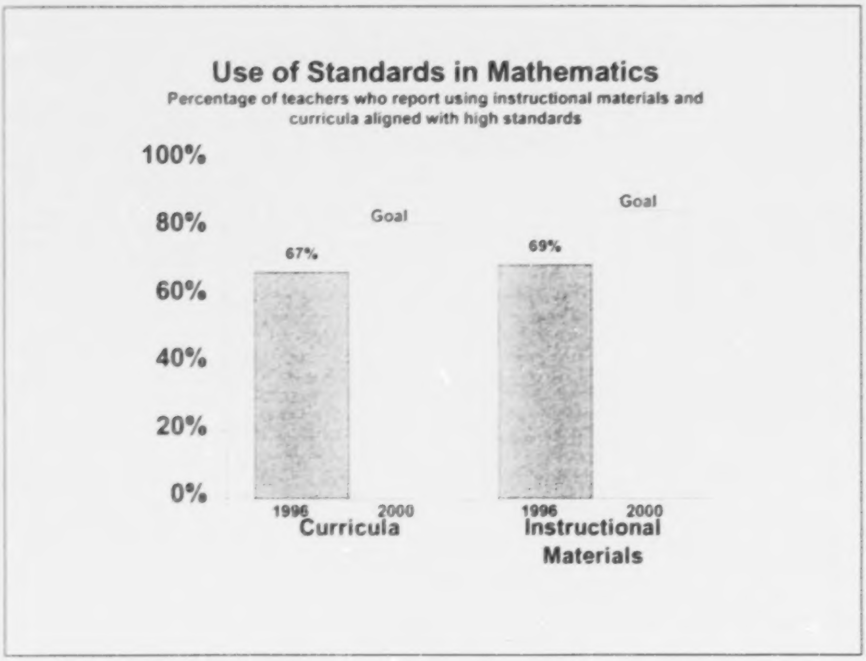


Limitations of data. The data include teachers whose main teaching assignment is science.
Verification/validation of measures. SASS will be replicated in the 1999-2000 school year. The 1999 Teacher Quality Study is a fast response survey using a nationally representative sample of teachers in 1998.
Data source. Teacher Quality: A Report on the Preparation and Qualifications of Public School Teachers, 1999.

Indicator 54. Each year, increasing numbers of schools will have access to, and use, information on best practices for math instruction.

Indicator background and context. The TIMSS results showed that the content of curricula and instructional materials used in U.S. classrooms in the middle school years in 1995 was less rigorous than those in high performing countries were. Schools need access to the best and most current information on instructional strategies and materials to help their students achieve to high standards. Data show that principals and teachers are making progress in linking their instructional strategies and materials to high standards (see Figure 57).

Figure 57



Limitations of data. None identified.
Verification/validation of measures. Future indicator data will draw from the National Longitudinal Survey of Schools (NLSS), a nationally representative survey of schools' progress in implementing standards-based reform.
Data source: FRSS, *Status of Education Reform in Public Elementary and Secondary Schools, Teachers' Perspectives*, 1999.

Objective 2.4: Special populations participate in appropriate services and assessments consistent with high standards.

Context: Children with special needs should benefit from the same high-quality schooling as all students, and receive extra supports to help them succeed. These children—who are a focus of key elementary and secondary education programs—may include students in high-poverty schools, students with limited-English proficiency or disabilities, migrant students, Native American students, and homeless students. A federal emphasis on ensuring that high standards are set, appropriate assessments are in place, and supports are available to their schools is critical to ensuring that these students are not left behind.

Federal support to schools plays a key role in ensuring that the needs of special populations are addressed. A January 1998 GAO report found that federal targeting of poor students through Title I and other programs has had the "effect of raising the additional funding for (those) students from the state-only average of $0.62 to a combined state and federal average of $1.10, a 77 percent increase." In addition to targeting poor children, federal funds support states and districts in serving the needs of disabled populations, ensuring compliance with civil rights legislation, and increasing opportunities for other students at risk of failure (e.g., those in the juvenile justice system).

External factors: In 1997, close to 20 percent of children were living below the poverty level. At the same time, a correlation clearly exists between the poverty concentration of a school and expectations and achievement for students. Yet federal resources alone cannot fully address the needs of special populations. Leveraging change and attention in states, districts, and schools to addressing the needs of special populations is critical and must be considered within differing state and local policy contexts.

Key strategies

- **Financial support for special populations.**
  - Request $8.43 billion for Title I Grants to Local Educational Agencies to help states and school districts ensure that disadvantaged students in low-income communities are able to meet the same high standards expected of all children. The program gives states and schools substantial flexibility. This will be supplemented with an additional $380 million to support services to migrant children.
  - Request $4.7 billion for IDEA Grants to States and Preschool Grants to improve the quality of education for children with disabilities so that these children can, to the maximum extent possible, meet the same challenging standards that have been established for all children, while also preparing them for employment and independent living.
  - Request $185 million for Bilingual Education Instructional Services, which support projects designed to develop the English language skills of participating students and to help them meet the same challenging standards expected of all students.
  - Request $74 million for Indian Education programs, which supplement the efforts of states, local districts, and Indian tribes to improve educational opportunities for Indian children.
  - Request $600 million for the 21st Century Community Learning Centers program to support approximately 4,000 before- and after-school programs—serving over 1.1 million students—which would keep schools open as safe havens while providing extended learning activities to improve student achievement and prevent juvenile violence and substance abuse. In 2000, priority will be given to schools that are working to end social promotion by providing academic services for low-achieving students.

Selected Accomplishments

Developed and Disseminated Guidance to Improve Practices in Testing All Students for High-Stakes Purposes

- Promoted improved practices and attention to civil rights issues regarding high-stakes testing through the development and dissemination of guidance to various audiences, and collaboration with national experts—including panels convened by the National Academy of Sciences (NAS)—in determining new approaches to address problems of discrimination in testing practices.

Promoted Success in Reading for All Students

- Supported educators in gaining access to information and strategies for improving practices in reading, through the wide dissemination of findings from the National Research Council report, *Starting Out Right: A Guide to Promoting Children's Reading Success* to educators of students with limited English proficiency; establishment of a nationwide "Reading for Success Network" (through the Comprehensive Regional Assistance Centers) to train reading teachers in Title I schools.

Supported Opportunities for Involving Families and Extending Learning Time for All Students

- A significant majority of grantees (85 percent), supported through the 21st Century Learning Centers program report that they plan to serve students at greatest risk of academic failure through extended learning programs held before- and after-school, on weekends and during the summer.
- Encouraged increased family involvement—particularly among Spanish-speaking parents—through collaboration with media outlets including UNIVISION, which broadcast "*Educacion: La Tarea De Todos*" (Education: The Work of All) on stations throughout the country.

Developed Guidebooks on Turning Around Low Performing Schools and Ending Social Promotion

- Prepared, in response to Presidential directives, guides for state and local leaders on transforming low-performing schools and ending social promotion. Guidebooks highlight strategies for improving student performance through greater support and accountability for results.

Promoted Access and Accountability for Children with Disabilities.

- Final regulations implementing the 1997 Amendments to the Individuals with Disabilities Education Act produced.

- **Financial support for school infrastructure and capacity.**
  - Request authorization for nearly $22 billion in school modernization bonds for transformation or renovation of public school facilities. One-half of the bond authority would be allocated to the 100 school districts with the largest number of low-income children. The proposal calls for the issuance of $11.1 billion in interest-free bonds in 1999 and an identical amount in 2000.
  - Request $500 million for the Technology Literacy Challenge Fund to support grants to states to buy hardware, connect schools to the Internet, train teachers to use technology, and develop and buy software. Funds are distributed to states on the basis of the Title I formula, and participating states are required to include long-term strategies for assisting the school districts with the largest numbers or percentages of poor children and the greatest need for technology in the classroom.

- **Appropriate services for all children.**
  - Promote attention, through federal monitoring and technical assistance, to tracking and promoting measures of successful practices in addressing the needs of disadvantaged students.
  - Work with states to improve their capacity to report and use disaggregated data on student performance and other measures.

- **Appropriate assessments for all children**.
  - Prepare and disseminate guidance to states in submitting "final" assessment plans, which are to include all children (including those with disabilities and limited English proficiency), as required under Title I of the Elementary and Secondary Education Act and section 612 (a)(17) of IDEA.
  - Continue to disseminate and implement guidance on testing and assessments, developed by the Office for Civil Rights, which may include high-stakes assessments of special populations.
  - Draw on the resources and expertise of a panel convened by the National Academy of Sciences, as well as identify and disseminate promising practices for assessing students (with limited English proficiency) at the state and local levels.
  - Disseminate results of research—conducted through the Office of Bilingual and Minority Languages Affairs, Office of Special Education and Rehabilitative Services, and the Office of Educational Research and Improvement—that will inform the development of assessments for all children and strategies for accommodations.
  - Monitor to ensure that all children with disabilities are included in general assessments, as appropriate, and that children with disabilities who do not participate in general assessments are included in alternate assessments by July 2000.

- **Highly qualified teachers.**
  - Promote the training and recruitment of teachers to serve children with special needs (e.g., limited English proficiency and special education) and for high-poverty areas, as part of the President's Class-Size Reduction Initiative.
  - Review and work with states and districts to encourage teacher recruitment and placement practices that engage the least qualified staff to teach the most disadvantaged.
  - IDEA State Improvement Grants to States to implement their plans for system reform and respond to their needs for highly qualified personnel.

- **Research, dissemination, and implementation of effective practices.**
  - Expand the scope of ED-supported dissemination regarding the implementation of strategies to support the education of students with special needs and in high-poverty districts, including those supported through the Comprehensive School Reform Demonstration program.
  - Request funding to support new research projects that develop designs to improve reading in English for Spanish speakers.
  - Develop and implement a comprehensive Department-wide strategy for disseminating promising practices and guidance to targeted districts and schools (e.g., those serving the highest concentrations of poor and limited English proficient students).
  - Continue to fund NIDRR Research and Training Centers focusing on children with disabilities and children with behavioral disorders.
  - Provide $50 million for a new Special Education Primary Education Intervention program to provide competitive grants to school districts to develop, demonstrate, and evaluate research-based model interventions for children with developmental delays ages 3 through 9.
  - Continue the 5-year $10 million initiative begun in 1998 to provide training and disseminate information to state and local administrators, teachers, parents, and others on the implementation of the IDEA amendments of 1997, including access to challenging curricula, programs based on high expectations, and general assessments.

- **Extending opportunities for learning**.
  - Continue to support after-school activities through 21st Century Community Learning Centers that are of particular benefit to special populations, through financial support, technical assistance, information sharing, and development of a guide on continuous improvement project management.

Coordination with other federal agencies

- **Children of families with special needs.** Expand coordination efforts with the Departments of Health and Human Services and Labor to ensure that children from families moving from welfare to work and others with special needs (e.g., migratory workers, homeless families) receive opportunities to participate fully in educational activities—including the Child Health Insurance Program.

- **Research**. Continue to support the efforts of the National Institute for Child Health and Development (NICHD) in studying ways in which Spanish-speaking children can best learn English.

- **President's Hispanic Education Initiative**. As the lead agency for the President's Hispanic Education Initiative, build upon public and private partnerships to support increased family and community involvement in education. For example, with the Partnership for Family Involvement, promote America Reads and other efforts to support a greater emphasis on reading through Spanish language television (e.g., UNIVISION), radio, and print media.

- **Executive Order on American Indian and Alaska Native Education**. Support programmatic strategies—including dissemination and support for the implementation of comprehensive reform strategies—and conduct research related to the education of Native Americans, as determined by an interagency task force.

- **Support for homeless and migrant children.** Continue to participate—as a member of a federal interagency council on homelessness—in developing collaborative strategies to address the unique needs of homeless children that pose barriers to student achievement. Support migrant technology grants and multi-state consortia established to develop materials and implement procedures, across states, for addressing the needs of migrant children—particularly those related to their mobility.

- **Juvenile justice.** Coordinate with the Department of Justice in supporting and disseminating improved state-level strategies for the collection, analysis and use of data regarding youth who are placed in juvenile facilities.

- **Improving services for children with disabilities**. Continue to collaborate with the Public Health Service in providing technical assistance and disseminate information to improve mental health service delivery in schools.

Programs supporting this objective

Grants to states, districts and schools for direct services

- Goals 2000 Grants to States
- Title I Grants to Local Educational Agencies
- Comprehensive School Reform Demonstrations
- 21st Century Community Learning Centers

Research and evaluation

- National Education Research Institutes
- IDEA: Research and Improvement
- Statistics and Assessment
- National Institute on Disability and Rehabilitative Research (NIDRR)

Targeted grants to support special populations

- Even Start
- Title I Migrant Education
- Title I Neglected or Delinquent
- Education of Homeless Children and Youth
- IDEA State Grants programs (Part B & C)
- Indian Education
- Bilingual Education
- Adult Education
- TRIO Higher Education Programs
- IDEA Priority Education Intervention
- IDEA Technical Assistance and Dissemination
- IDEA State Improvement

- Dissemination
- Regional Labs

Programs in other agencies

- Bureau of Indian Affairs (Interior)
- Homeless Assistance Programs (HHS, HUD, USDA, Labor)
- Migrant Assistance Programs (HHS and Labor)
- School Modernization Bonds (Treasury)

Program Support

- Office for Civil Rights

Performance indicators and charts

ED is monitoring this objective by examining progress by states, districts and schools in implementing effective strategies for teaching students with special needs, and tracking the results. Outcomes are measured by examining trends in the achievement of students in high-poverty schools compared to overall national achievement.

Indicator 55. Increasing percentages of students in high-poverty schools will reach the basic level or higher levels of proficiency in reading and math on the National Assessment of Educational Progress (NAEP), compared to those for the nation.

Indicator background and context. School poverty has a substantial impact on student achievement, as illustrated by the low percentages of fourth graders in high-poverty schools scoring at or above the basic level in reading and math on NAEP. The goal is to bring the scores closer to that for all schools.

Figure 58

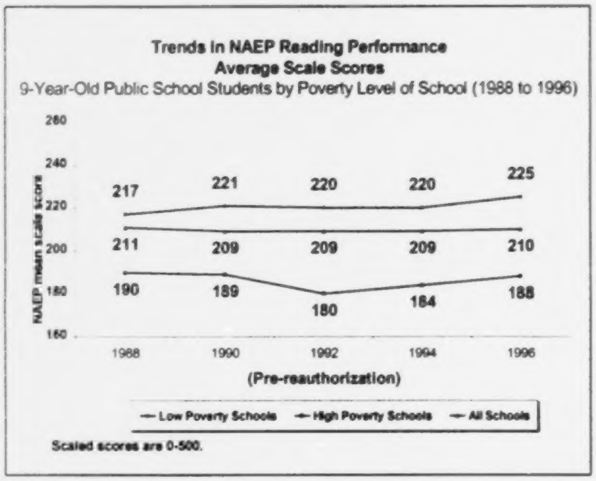
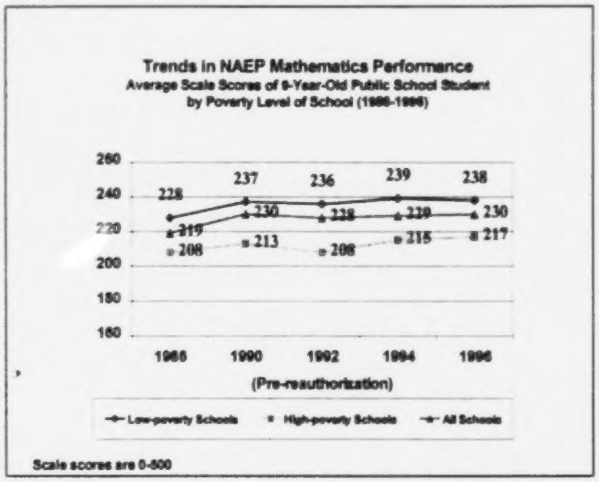


Figure 59

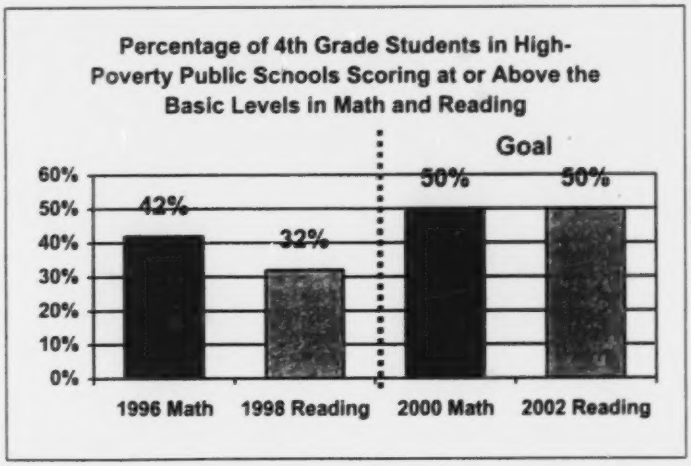


(High-poverty schools are defined as those in which more than 75% of the students are eligible for free or reduced-price lunch. Low-poverty schools enroll fewer than 25 % students eligible for free or reduced-price lunch.)

Reading. While students in low-poverty schools improved their reading scores from 1988 to 1996, scores of students in high-poverty schools have only begun improving since 1992. From 1992 to 1996, scores of 9-year-olds in high-poverty schools rose by 8 scale score points, or close to a grade level of improvement.

Math. Improvement in mathematics has occurred most appreciably for students in high-poverty schools since 1992, rising by 9 points, or one grade level. The Department of Education's target is to improve the mathematics and reading performance of students in high poverty schools, such that by the year 2000, at least 50% of these students perform at or above the basic level on NAEP.

Figure 60

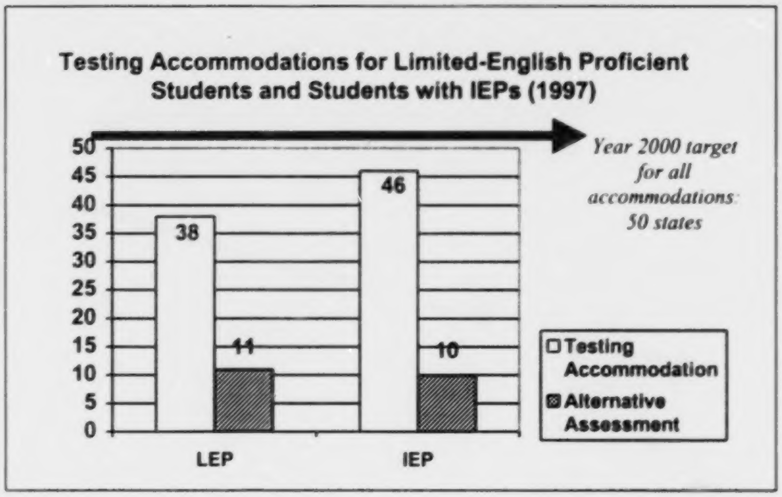


Limitations of the data. Main NAEP data for reading and math can only be reported every four years.
Verification/validation of measures. National Center for Education Statistics.
Data source(s). U.S. Department of Education, Planning and Evaluation Service. (1998, September). *School Poverty and Academic Performance: NAEP Achievement in High-Poverty Schools. A Special Evaluation Report for the National Assessment of Title I.* U.S. Department of Education, National Center for Education Statistics (1999 February), National Assessment of Educational Progress (1998 Reading).

Indicator 56. States will implement appropriate procedures for assessing and reporting progress towards achieving to high standards by students who have disabilities, have limited English proficiency, or are children of migrant workers, by 2001.

Indicator background and context. By 2000-2001, Title I of ESEA requires that states develop assessment systems, that include appropriate procedures for assessing and reporting progress of students who have disabilities, have limited English proficiency, or are children of migrant workers. In addition, the recent reauthorization of IDEA requires that states include students with disabilities in their assessment systems.

Figure 61

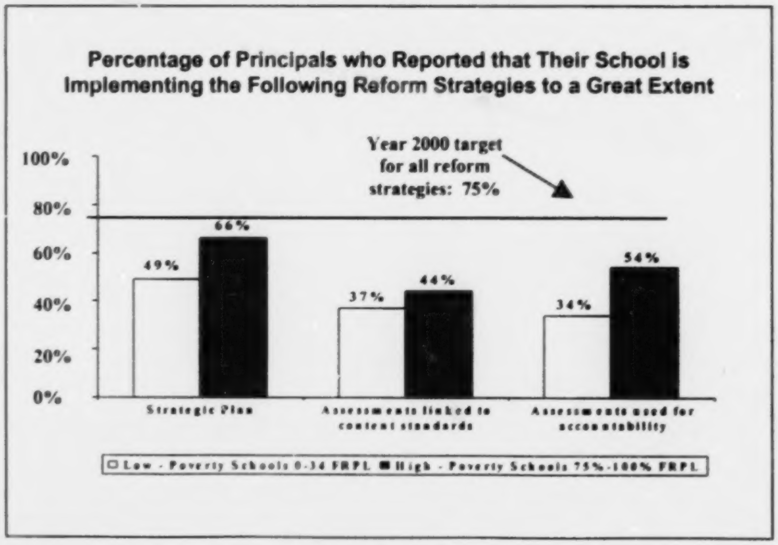


Limitations of the data. Data were collected in 1997, and current results could differ as a result of changing policies. In addition, the results reported address at least one component of state testing program. States may have other testing components that do not include accommodations.
Verification/validation of measures. The CCSSO collects data directly from State Assessment Directors, who are responsible for the systems that are reported.
Data source(s). Council of Chief State School Officers. (1998). *Trends in State Student Assessment Programs, Fall 1997.*

Indicator 57. The number of schools using comprehensive, research-based approaches to improve curriculum and instruction, and support services for at-risk students will increase annually.

Indicator background and context. A key principle of Title I and other federal programs supporting special populations is that all children receive an "enriched and accelerated instructional program," that is based on challenging standards.

Figure 62

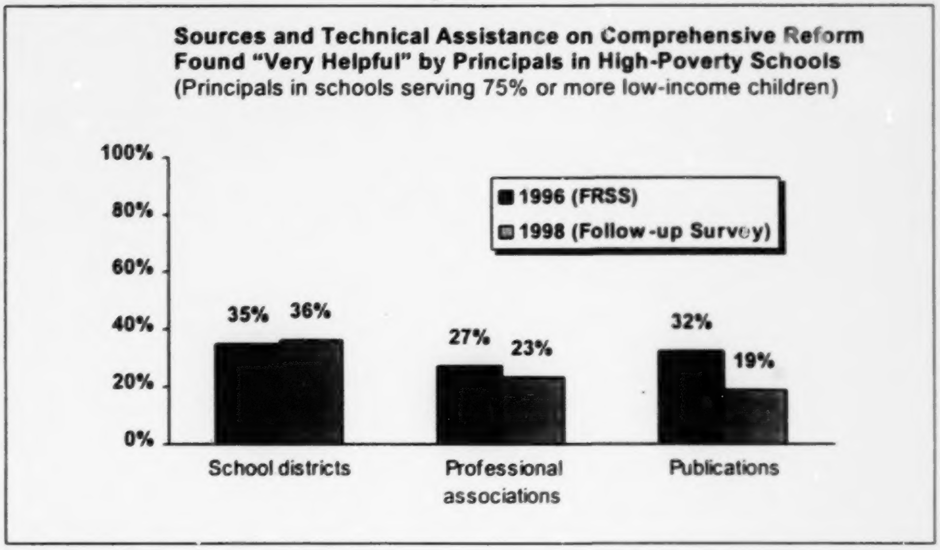


Limitations of the data. Baseline data reported serve as a proxy for indicator. They do not address the implementation of research-based strategies, which will be covered in subsequent reports.
Verification/validation of measures. Subsequent independent evaluations conducted by the Planning and Evaluation Service will report on progress in implementing reforms among high-poverty schools and schools serving large concentrations of LEP children.
Data source(s). Follow-up Survey of Schools, 1997-98, unpublished tabulations.

Indicator 58. Increasing percentages of administrators and educators working with at-risk children will have access to and use high-quality information and technical assistance on effective practices.

Indicator background and context. A key principle of Title I and other federal programs supporting special populations is that staff in high-poverty schools will have opportunities for appropriate professional development. The indicator reports on those sources of information that are described as most helpful by principals.

Figure 63



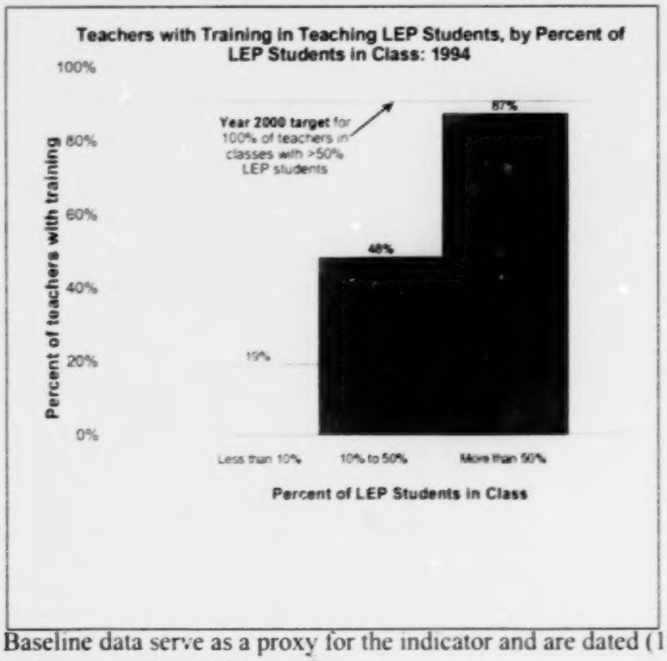
Sources and Technical Assistance on Comprehensive Reform Found "Very Helpful" by Principals in High-Poverty Schools
(Principals in schools serving 75% or more low-income children)

Limitations of the data. Data reported address 'helpfulness,' but not the quality of various sources of assistance.
Verification/validation of measures. Current case studies will be examined to validate findings. Additionally, subsequent independent evaluations conducted by the Planning and Evaluation Service will report on the quality of federally supported assistance, along with other types of assistance.
Data source(s). Baseline: NCES. (1998). *Status of Education Reform in Public Elementary and Secondary Schools: Principals' Perspectives*. Follow-up Survey of Schools, 1997-98, unpublished tabulations.

Indicator 5. Increasing percentages of teachers will be equipped with strategies to enable students with limited English proficiency or disabilities to meet challenging standards.

Indicator background and context. The growing number of limited English proficient students requires an increase in the number of teachers trained to address their particular needs. At the same time, increased accountability for all students requires greater attention to the training of teachers serving students who are most at risk.

Figure 64



Limitations of the data. Baseline data serve as a proxy for the indicator and are dated (1993-94). The (1999) Schools and Staffing Survey will provide an update.

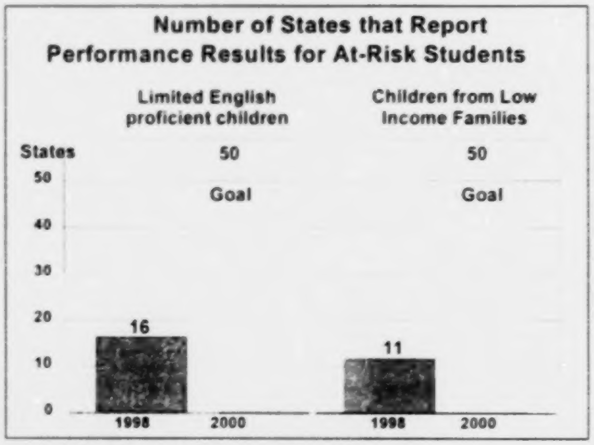
Verification/validation of measures. National Center for Education Statistics.

Data source. NCES (1997, January). A Profile of Policies and Practices for Limited English Proficient Students (SASS 1993-94).

Indicator 60. Federal technical assistance and other support to states will result in annual increases in the number of states and local school districts with the capacity to disaggregate and report on assessment data aligned with standards for at-risk students.

Indicator background and context. By 2000-2001, Title I of ESEA requires that states establish accountability systems that track the progress of students from special populations (e.g., limited English proficient), and report to parents and local communities.

Figure 65



Limitations of the data. Updated information reflect what was reported to ED through the Title I performance report. Edit checking is underway.
Verification/validation of measures: Independent program evaluations by the Planning and Evaluation Service will validate state-reported program information.
Data source(s). Council of Chief State School Officers. State Education Indicators with a Focus on Title I, 1997; Title I Performance Report for 1996-97 (preliminary data).

Goal 3. Ensure access to postsecondary education and lifelong learning.

Postsecondary education is becoming increasingly important to both the individual and the nation's well being. Given current trends, at least two years of postsecondary education will be increasingly necessary in the next century to gain higher earnings and improved job opportunities. Although American higher education is the envy of the world, almost 40% of our own high school graduates do not immediately attend postsecondary education. Moreover, postsecondary enrollment and completion rates are significantly lower for blacks and Hispanics and for students from lower- and middle-income families than for whites and those from higher-income families. Although enrollment rates have been rising in recent years, postsecondary education remains an elusive option for too many American high school graduates.

Besides helping to ensure postsecondary training for our young people, it is also essential that we encourage lifelong learning, whether it be graduate school or adult basic education, advanced technical training or training in job entry skills. This includes many for whom lifelong learning opportunities are of special importance, such as persons with disabilities, adults lacking basic skills, and those whose job skills need upgrading or who require retraining because of labor market changes. Persons with disabilities are at least twice as likely as people without disabilities to be unemployed which is estimated to cost society in excess of $2 billion annually. In addition, the National Adult Literacy Survey of 1992 showed that at least 21% of adults age 16 and older lacked basic reading and math skills needed for well-paying jobs or entry into higher education.

To help guarantee access to postsecondary education and lifelong learning, we need to continue to make progress in four key areas, ensuring that:

1. All students leave high school with the academic background and preparation to pursue postsecondary education. Movement toward achievement of Goals 1 and 2 will go a long way toward making this a reality. We also need to help motivate students to continue their education beyond high school by providing them with earlier and better information about what the benefits of postsecondary education are, what admission requirements are, how much college costs, and how they can get financial aid to help pay postsecondary costs.

2. All students motivated and academically ready to attend postsecondary education have the financial resources and support services needed to do so.

3. The student aid delivery system is efficient, financially sound, and customer-responsive.

4. Best practices are identified and performance data systems are updated.
   These steps greatly enhance the quality of the rehabilitation and adult education programs by providing feedback for program development, supporting coordination with other federal agencies, and improving employment outcomes for adults on welfare, with disabilities, and/or low levels of skills and education.

Use of Evaluations and Assessments in Developing Goal 3

In developing our goals, objectives, and strategies in Goal 3, ED relied on a number of evaluations, research studies, and management analyses, including:

- A number of research studies have been and are being conducted using data collected by the National Center for Education Statistics and the Census Department and targeted studies of specific populations affected by changes in legislation or policy. These studies are being used to assess the educational effects of the student aid programs and to help pinpoint where barriers to postsecondary education and lifelong learning remain for certain groups within the population. Strategies are then developed to help overcome these barriers.

- A series of management analyses -- including the Direct Loan evaluation, customer satisfaction surveys, and studies of the "gatekeeping" process that determines which postsecondary institutions are eligible to participate in the student aid programs -- aided in the identification of successes and problems in the management of the student aid programs. Another major source of information has been the General Accounting Office (GAO) reports on student financial aid management.

- Evaluations of the Upward Bound, Student Support Services, adult education, and vocational rehabilitation programs were used to identify critical strategies for program improvement. For example, prior studies on adult education made it clear that the field urgently needs information on effective practices and improved state and local performance data, both of which are plan strategies as well as current evaluation priorities.

Objective 3.1: Secondary school students get the information, skills, and support they need to prepare successfully for postsecondary education.

Context: The Department of Education supports significant levels of postsecondary student financial assistance--estimated to exceed $52 billion for FY 1999. Research has shown, however, that information about the benefits of college, academic requirements, and the availability of financial aid can be as critical as ensuring financial assistance in motivating students and families to begin planning early for college education. The major strategy to achieve objective 3.1 is to disseminate information and provide support services to a broad range of students and families, focusing on students and their families beginning in the middle-school years and continuing throughout secondary school.

External factors: Student preparedness for college is dependent on many factors, including school experiences in grades K-12, family and outside influences, and individual motivation and expectations. Although family and other influences will continue to have a strong bearing on student success, the Department of Education will work to provide information and support to as many students and families as possible through publications, Web sites, and promotion of family involvement through the new GEAR UP program. In addition, the ability of the Department to provide faster electronic notification of financial aid eligibility is dependent on approval of the electronic signature.

Key strategies

- **Support services to help students prepare for postsecondary education.**
  - As authorized in the 1998 Higher Education Amendments, the new GEAR UP program will provide low-income children with additional counseling, mentoring, academic support, outreach, and supportive services as well as information on the benefits of college, academic requirements, and financial aid opportunities through state programs and partnerships of colleges, middle and junior high schools, businesses, and community organizations. The $240 million budget request for GEAR UP in FY 2000 would provide services to almost 381,000 students in high-poverty schools.
  - The $630 million request for TRIO programs would increase support for the Upward Bound and Talent Search programs, which identify disadvantaged middle-school and high school students and provide academic and career counseling, information, and assistance on postsecondary admission and financial aid, and tutoring services. The FY 2000 budget request of $630 million for TRIO would provide services to almost 377,000 Upward Bound and Talent Search students.
  - The budget includes $55 million for the School-to-Work Opportunities program, which helps states implement systems connecting secondary school classrooms to the world of work and preparing students for a wide range of postsecondary education opportunities.
- **Foundation partnership to support the GEAR UP program.**
  - The Department will work with the Ford Foundation to promote the GEAR UP program, provide information to help GEAR UP grantees implement high-quality projects, and support continuous program improvement.
- **National campaign for middle-school students.**

- A new $15 million Preparing for College program would develop a series of media products including videos and publications, to support the GEAR UP program and to inform middle- and high school students and their families, as well as the general public, about the steps needed to attend college and financial aid opportunities. A major product will be a toolkit for schools and community organizations containing reference information about postsecondary education costs, benefits, and preparation. In addition, this program would encourage adult learners to take advantage of the new tax credits for postsecondary education by going back to school to learn new skills.
- The Think College Early Web site will continue to provide information to the public about postsecondary education.

- **A student- and family-focused system to support postsecondary education using computer and information technologies.**
  - Simplify the process of electronically applying for student financial aid through the World Wide Web.
  - Coordinate with partners in the community, including schools, lenders, and guarantee agencies, to establish industry standards for data exchanges needed to operate the system.

- **Vocational education support for technical skill training.**
  - The Department's budget request for $1.142 billion for Vocational Education State Grants and Tech-Prep Education will support state and local efforts to increase students' technical skills, integrate academic and vocational education, link secondary and postsecondary education, relate classroom learning to experiences outside the classroom in the workplace, and develop models of high school reform.

Selected Accomplishments

Created new early intervention program to prepare students for college.

- Enacted under the Higher Education Amendments of 1998, GEAR UP (Gaining Early Awareness and Readiness for Undergraduate Programs) will provide grants to states and to local partnerships of colleges, middle and secondary schools, and community-based organizations to provide comprehensive mentoring, tutoring, information, and other support to help disadvantaged students prepare for college beginning in the middle school grades.

Promoted public understanding through "Think College Early" campaign.

- Department-wide effort resulted in the development of a Web site for middle-grade students, parents, and educators; a "listserv" for institutions of higher education, community-based organizations, guidance counselors, principals, and other providers of early college awareness information and programs; and the development of publications for middle-grade students and for organizations interested in establishing mentoring programs to promote college-going.

Coordination with other federal agencies

- **Public awareness campaigns**. Continue to obtain input and support from numerous public and private organizations, such as the National Middle School Association, College Board, and Boy Scouts of America (Learning for Life), in designing and implementing the Preparing for College program, ED-NSF national mathematics public engagement campaign, and GEAR UP program. In addition, work to ensure that the three programs are well coordinated and mutually reinforcing.

- **Dissemination of research.** Coordinate the TRIO clearinghouse with other ERIC clearinghouses to better disseminate research on the preparation of disadvantaged youth for postsecondary education.

Programs supporting this objective

Information and support services

- GEAR UP
- Preparing for College
- TRIO (Upward Bound and Talent Search)
- School-to-Work Opportunities
- Migrant education (HEP and CAMP)
- IDEA State Grants (Part B)
- IDEA Technical Assistance and Dissemination (Part D)
- National Technical Institute for the Deaf
- Gallaudet University

Research

- Statistics and Assessment
- IDEA Research and Innovation (Part D)

Vocational Education

- Vocational Education State Grants
- Tech-Prep Education

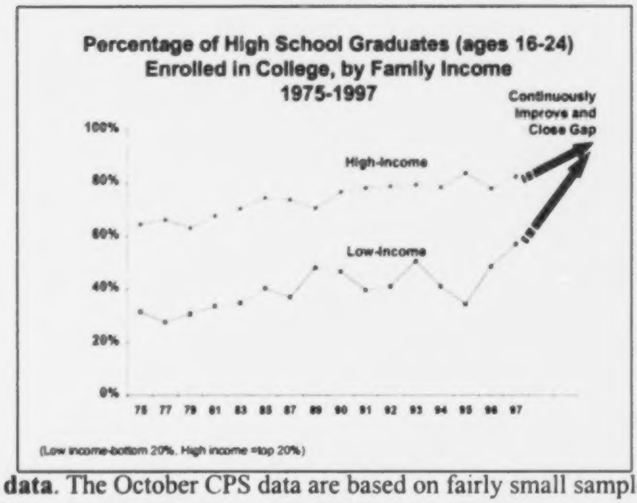
Performance indicators and charts

The performance indicators included in the Strategic Plan for objective 3.1 relate to expected outcomes of the early college awareness postsecondary education programs and improvements in the student financial aid application system, including increasing college enrollment rates, particularly for low-income students; creating greater awareness of the costs of attending college, the availability of financial aid and the academic requirements of college enrollment; and reducing the time needed to process financial aid applications.

Indicator 61. Postsecondary education enrollment rates will increase each year for all students, while the enrollment gap between low- and high-income and minority and non-minority high school graduates will decrease each year.

Indicator background and context. From 1975 through 1996, the postsecondary education enrollment rates of both low- and high-income students tended to increase. However, despite some fluctuations, the gap in enrollment rates between these groups has remained fairly stable over this period. The Preparing for College program, GEAR UP program, TRIO programs, and reform efforts at the elementary and secondary school level are designed to increase student interest in, and preparation for, postsecondary education, thereby leading to continued increases in postsecondary enrollment rates, particularly for low-income students.

Figure 66



Limitations of the data. The October CPS data are based on fairly small samples, which may result in large year-to-year fluctuations, particularly among subgroups.

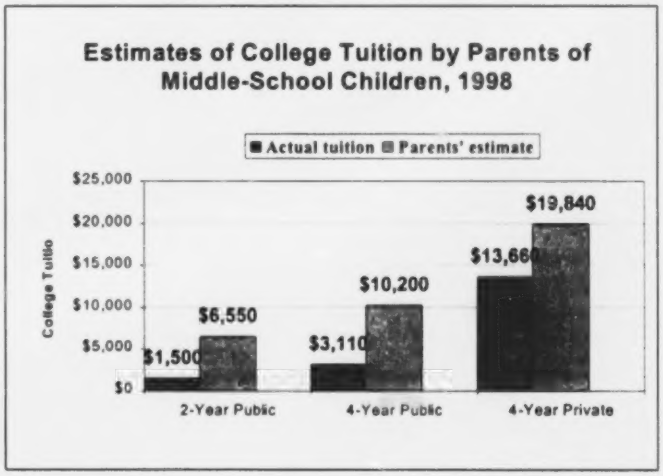
Verification/validation of the data. The October CPS data collected by Census are subject to strict methodological standards.

Data source(s). U.S. Department of Commerce, Bureau of the Census, October Current Population Surveys, updated annually.

Indicator 62. Increasing percentages of students from age 12 through high school and their parents will have an accurate assessment of the cost of attending college and the aid available for college by 2002.

Indicator background and context. Parent and student estimates of the cost of postsecondary education can reasonably be expected to influence student preparation for college and enrollment behavior. Significant overestimation of college costs by parents and students may indicate a perceived barrier to postsecondary enrollment that could affect student behavior and academic preparation.

Figure 67



Limitations of the data. No data about student perceptions of college costs are currently available. Generally speaking, it is significantly more difficult to survey students than parents. Beginning in 1999, data on parent and student perceptions of college costs will be obtained biannually through the National Household Educational Survey (NHES).

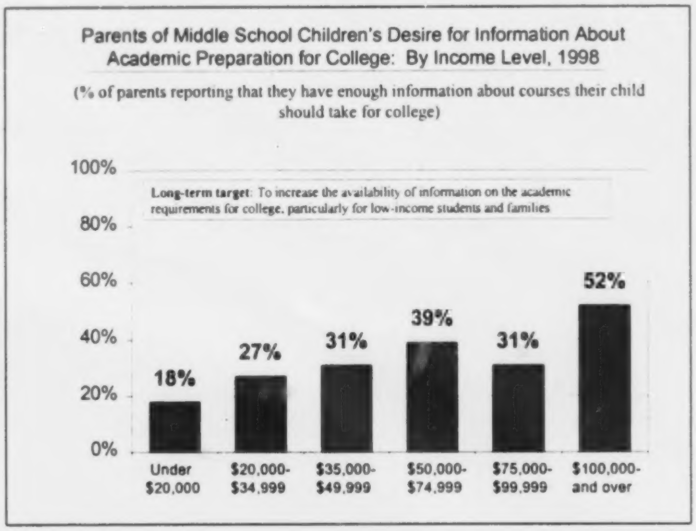
Verification/validation of measures. Gallup's methods for selecting samples and conducting telephone surveys have been tested through extensive use and are subject to strict methodological standards.

Data Source(s). Gallup survey of parents of middle school students, 1998. Beginning in 1999, parent and student data will be gathered through NHES, which is conducted biannually by NCES.

Indicator 63. The percentage of students from age 12 through high school and their parents who obtain information on the academic requirements for college or postsecondary vocational enrollment will increase annually.

Indicator background and context. Research indicates that academic preparation, including course-taking patterns in middle school and high school, are associated with an increased likelihood of going to college. Greater awareness of the academic requirements for college and of the importance of challenging coursework is likely to increase students' academic preparation for college.

Figure 68



Parents of Middle School Children's Desire for Information About Academic Preparation for College: By Income Level, 1998

(% of parents reporting that they have enough information about courses their child should take for college)

Limitations of the data. No data about the extent to which students' obtain information on the academic requirements for postsecondary education are currently available. Generally speaking it is significantly more difficult to survey students. Beginning in 1999, data on parents' and students' ability to obtain information on academic preparation for college will be obtained biannually through NHES.

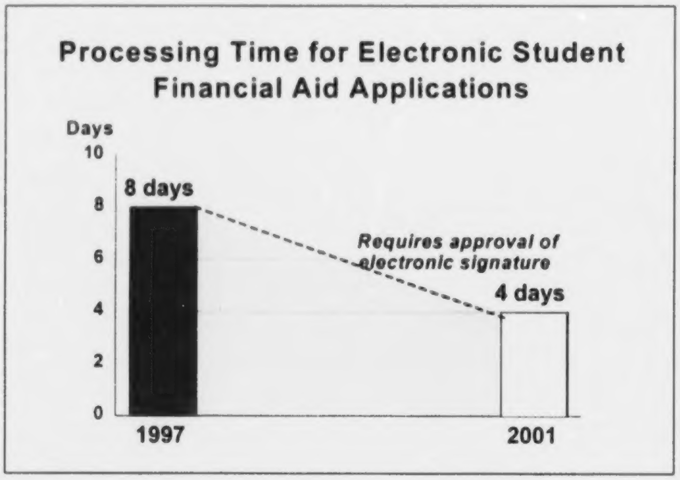
Verification/validation of measures. Gallup's methods for selecting samples and conducting telephone surveys have been tested through extensive use and are subject to strict methodological standards. Beginning in 1999, parent and student data will be gathered through NHES, which is conducted biannually by NCES.

Data Source(s). Gallup survey of parents of middle school students, 1998.

Indicator 64. By October 2001, there will be a single point of contact that allows students to get information on federal student aid, apply for aid, and have their eligibility for aid determined within four days of electronic application, cutting in half the current processing time. (Requires congressional approval of electronic signature.)

Indicator background and context. The current processing time for electronic applications for federal student financial aid is eight days. A streamlined mechanism for electronically applying for student financial aid through the World Wide Web will give prospective students and their families a single electronic point of contact for all federal student aid programs, and eventually, with the cooperation of the postsecondary education community, this system will respond to all their financial aid questions, including estimates of likely federal aid amounts and costs associated with attending specific schools. Note that a reduction in the processing time for electronic applications from eight to four days can only be achieved with approval from Congress of the electronic signature.

Figure 69



Limitations of the data. None.
Verification/validation of performance measures. The Department obtains management information system (MIS) reports on the number of applications received through various mechanisms (paper, electronic, etc.).
Data source(s). Program data.

Objective 3.2: Postsecondary students receive the financial aid and support services they need to enroll in and complete a high quality educational program.

Context: Progress made toward achievement of Goals 1 and 2 and Objective 3.1 will help ensure that all students are prepared for college. The major strategy being used to achieve Objective 3.2 is to provide students with the financial and support services they need to achieve their postsecondary educational objectives. This assistance is designed to help overcome the financial and other barriers that make it difficult for lower- and middle-income students to attend and complete postsecondary education.

External factors: The affordability of postsecondary education depends not only on the amount of student financial assistance provided by the federal government but also on decisions made by States, postsecondary institutions, and other organizations concerning what students are charged to attend school and the amount of non-federal student aid made available. While the Department cannot control what other actors in the system do, we can and will use public pressure to try and keep postsecondary costs low and the availability of non-federal aid high. We will also continue to publish information concerning postsecondary institutions so consumers can make cost-effective enrollment decisions. In addition, general economic conditions affect postsecondary affordability and, therefore, the Department incorporates expected future economic conditions into our forecasts of funding requirements for the Title IV student aid programs.

Key strategies

- **Student financial assistance.** If enacted, the Department's FY 2000 budget would provide more than $52 billion in grant, loan, and work-study assistance to 8.8 million postsecondary students:
  - A $7.5 billion request for Pell Grants would increase the maximum award by $125 to $3,250, the highest ever, and provide grants to nearly 3.9 million students.
  - A $934 million request for Work-Study (an increase of $64 million) would allow approximately 1 million students work their way through college.
  - Modification of the allocation formula for the three campus-based aid programs (Work-Study, Supplemental Educational Opportunity Grants, and Perkins Loans) would gradually distribute a larger share of appropriated funds on the basis of institutional need.
  - The Federal Family Education Loans and Federal Direct Student Loan programs would support 9.5 million loans to postsecondary students totaling an estimated $41.2 billion.
  - The new D.C. Resident Tuition Support initiative would allow graduates from D.C. public and private high schools to pay in-state tuition at all Maryland and Virginia colleges.
  - The Distance Learning Demonstration program would assess on an experimental basis the expansion of student aid eligibility for distance learners by waiving certain restrictions contained in the current student aid law.
  - The Byrd Honors Scholarships and Graduate Assistance in Areas of National Need programs would reward high levels of academic achievement by providing more than $80 million in scholarships to support outstanding undergraduate and graduate students.

- **Support services for postsecondary students.** Besides providing financial assistance to help students enroll in and complete postsecondary education, the Department also supports programs that provide students with the non-financial services needed to achieve their educational objectives.
  - The $630 million request for TRIO would enhance the Student Support Services and McNair programs, which are designed to encourage individuals from disadvantaged backgrounds to

complete college and pursue graduate studies. The request would fund services to an estimated 182,000 disadvantaged postsecondary students.

- The new College Completion Challenge Grants program would provide $35 million to help institutions of higher education increase the persistence rate of students who are at risk of dropping out of college.
- Improve the provision of support services to students by redesigning performance reports and disseminating information regarding effective practices.

- **Improve the quality of postsecondary education.** While most of the Department's efforts support the direct provision of assistance to students, whether it is financial or non-financial, the Department also plays a significant role in helping to improve the quality of postsecondary education.
  - The FY 2000 request of $521 million (a $41 million increase over FY 1999) requested for the Aid for Institutional Development, Developing Hispanic-Serving Institutions, and Howard University programs will help enable institutions serving high percentages of minority and disadvantaged students to provide these students a high quality postsecondary education. In addition, continued efforts will be made to promote sharing of "best practices" among institutions.
  - The $27.5 million requested for the Fund for the Improvement of Postsecondary Education (FIPSE) will enable the Department to continue to promote successful postsecondary education reform efforts. Priorities for FY 2000 funding will be grants aimed at helping to control the cost of postsecondary education and at enhancing dissemination activities.
  - A doubling of funding (from $10 million to $20 million) for the recently created Learning Anywhere Anytime Partnership program will continue to encourage the development of innovative techniques to enhance the delivery of high quality postsecondary education and lifelong learning opportunities for all citizens, in all settings.

Selected Accomplishments

Reauthorization of the Higher Education Act

- Agency-wide efforts resulted in the enactment of the Higher Education Amendments of 1998. This reauthorization included several key administrative initiatives:
  - Increasing college access by reducing interest rates for students.
  - Increasing college access by promoting high-quality distance education initiatives.

Opening the Doors of College to all Americans

The Fiscal Year 1998 and 1999 budgets provided for substantial increases in student aid as well as several major tax initiatives helping to make college affordable for all Americans.

- Increased funding for the Pell Grant Program from $5.9 billion in FY 1997 to 7.7 billion in FY 1999; an increase of $425 in the maximum Pell award during this period. This represented the largest increase in the maximum award in 25 years.
- Increased funding for the Federal Work-Study (FWS) program helping approximately 930,000 students work their way through college. In addition, encouraged hundreds of colleges to provide opportunities for work-study students to participate in the America Reads Challenge to help ensure all children can read well by the third grade.
- Worked with the Treasury Department to pass and implement several tax initiatives to help families pay for college, including the Hope Scholarship and Lifetime Learning tax credits, which could benefit some 13 million families.

Outreach to Postsecondary Institutions

- Sponsored a national conference attended by 700 college presidents and senior administrators to promote sharing of "best practices" in retention, recruitment, and access at Title III institutions.
- Conducted various outreach efforts to raise awareness of Year 2000 computer issues at postsecondary institutions including establishing a web-site that receives over 18,000 hits a month, sending a Year 2000 Readiness Kit to all schools, and making presentations at over 35 professional conferences.

Use of tax expenditures

There are a number recently enacted changes in the tax law designed to make postsecondary education more affordable. These include the HOPE Scholarship tax credit, the Lifetime Learning tax credit, expanded opportunities for saving for college, and tax deductions for interest paid on student loans. A more detailed discussion of these items is contained in the section on the use of tax expenditures at the end of the report.

Coordination with other federal agencies

- **Work with the Treasury Department.**
    - Consult with the IRS regarding publications for students and schools regarding steps needed for taxpayers to claim the Hope Scholarship and Lifetime Learning tax credits, and student loan interest deduction.
    - Consult with the Treasury Department on the setting of student loan interest rates.

Programs supporting this objective

Student grants and loans
- Pell Grants
- Campus-based programs
- Federal Family Education Loans
- Direct Student Loans
- D.C. Resident Tuition Support Program

Student Fellowships
- International Education and Foreign Language Studies
- Byrd Honors Scholarships
- Graduate Assistance in Areas of National Need

Student Support
- TRIO (Student Support Services and McNair)
- College Completion Challenge Grants

Aid to higher education institutions
- Aid for Institutional Development
- Howard University
- Developing Hispanic-Serving Institutions
- National Technical Institute for the Deaf
- Gallaudet University

Research, innovation and improvement
- Fund for the Improvement of Postsecondary Education
- Statistics and Assessment
- Learning Anytime Anywhere Partnerships

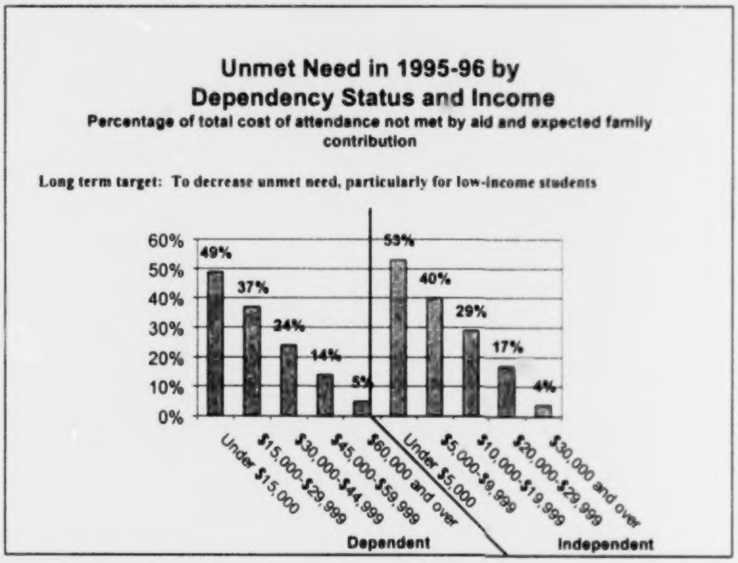
Performance indicators and charts

The performance indicators included in the Strategic Plan for objective 3.2 relate to expected outcomes for four postsecondary education programs such as increasing graduation rates, particularly for low income student; reducing unmet need and debt burden; and ensuring that recipients of the TRIO programs benefit from the services they receive. Indicators relating to the Department's delivery of the postsecondary education programs are included under objective 3.3. The Department is currently undertaking several efforts to obtain more timely data for each of the indicators

Indicator 65. Unmet need (the percentage of a student's total cost of education that is not met by student and family contribution and all sources of financial aid) -- a measure of opportunity or access to postsecondary education -- will show decreases over time, especially for low-income students.

Indicator background and context. Trends in unmet need provide a good measure of how the affordability of postsecondary education is changing over time. Not surprisingly, lower- and middle-income students have higher amounts of unmet need than do higher-income students. Continued strong funding support for the Federal Pell Grant and other student aid programs will help make postsecondary education more affordable for low - and middle-income students and their families.

Figure 70



Limitations of the data. While trends in unmet need are a good measure of changes in postsecondary affordability, the value of unmet need itself is not a reliable measure of how people pay for college. Unmet need represents the amount of additional aid a student could possibly receive under student aid regulations and does not really reflect the resources students and their families actually use to pay for college. In addition, under current NCES plans, data from the National Postsecondary Student Aid Study (NPSAS) will only be collected every four years. Work is underway to develop a mechanism for estimating yearly changes in the variables that make up unmet need so that annual interim projections can be made. When operational in 1999, this mechanism will provide information on unmet need with a one-year lag. In other words, data on the 1997-98 award year will be estimated in 1999.

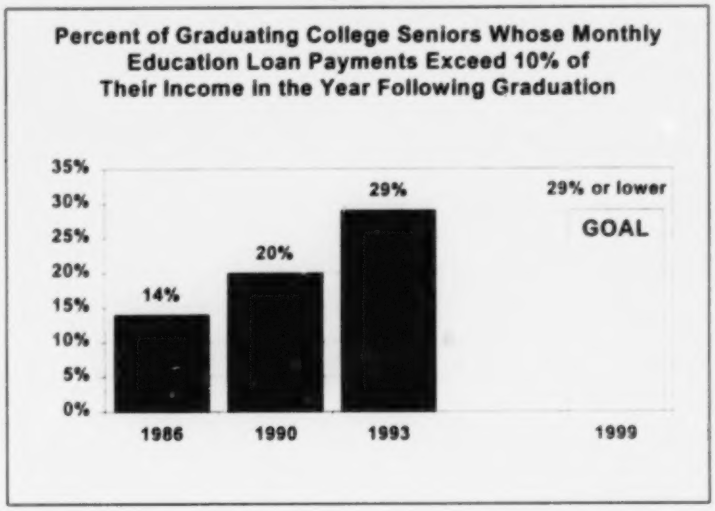
Verification/validation of measures. The NPSAS data collected by NCES are subject to strict methodological standards. Yearly updates to the NPSAS data will be subject to estimation errors. When new NPSAS data becomes available, estimates will be verified against the actual data and appropriate changes made in the estimation methodology.

Data Source(s). National Postsecondary Student Aid Study, 1996, and 2000. Annual updates will be made by estimating yearly changes in the variables that make up unmet need.

Indicator 66. The percentage of borrowers with student loan debt repayments exceeding 10% of their income will remain stable or decline over time.

Indicator background and context. In general it is believed that educational debt in excess of 10 percent of income will negatively affect a borrower's ability to repay his or her student loan and to obtain other credit. The greater availability of flexible repayment options, better debt counseling for borrowers, and the tax deductibility of student interest payments are expected to help prevent any further increases in the percentage of borrowers with student loan debt repayments in excess of 10 percent of their income.

Figure 71



Limitations of the data. Under current NCES plans, data from the Baccalaureate and Beyond Study (B&B) will only be collected every eight years. In addition, self-reported income data, as is collected in the B&B survey, are unreliable and the measure only reflects graduating college seniors. Work is underway to develop a mechanism for measuring debt burden annually for all students by combining ED's administrative loan records with earnings data collected by the Social Security Administration (SSA). The greatest difficulty to be overcome is to ensure the confidentiality of the earnings data while still providing accurate estimates of debt burden. We anticipate being able to obtain estimates by matching ED and SSA records in 1999.

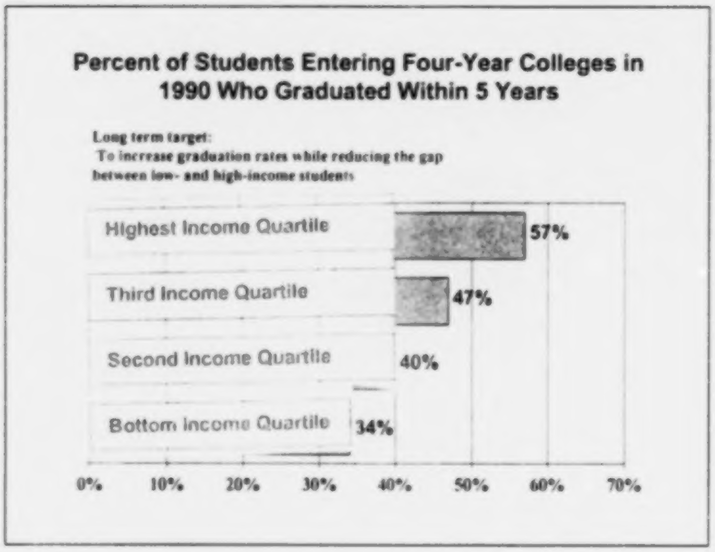
Verification/validation of measures. The B&B data collected by NCES are subject to strict methodological standards but do rely on self-reported income. Because SSA data does not capture earnings data beyond the annual Social Security earnings ceiling, estimates of debt burden for students with very high debts will need to be adjusted.

Data source(s). Survey of Recent College Graduates, 1986 and 1990; Baccalaureate and Beyond Study, 1993. Beginning in 1999, the Department will be obtaining annual debt burden data for a representative sample of all borrowers using administrative records.

Indicator 67. Graduation rates for all students in four-year and two-year colleges will improve, while the gap in completion rates between low- and high-income and minority and non-minority students will decrease.

Indicator background and context. Aiding students in completing their postsecondary educations is at least as important as helping them to enroll. Funding increases for the student aid and support service programs are expected to reduce both financial and non-financial barriers that may prevent students, particularly low-income students, from completing their postsecondary educations.

Figure 72



Limitations of the data. Under current NCES plans, data from the Beginning Postsecondary Student Study (BPS) will only be collected every eight years. Postsecondary institutions are just starting to report graduation rates annually through the Integrated Postsecondary Education Data System (IPEDS) and these data will be used in the future. IPEDS data will not provide information on differences in graduation rates by income, although it does have breakdowns by race/ethnicity, or on the outcomes of students who transfer from one institution to another.

Verification/validation of measures. Both the BPS and IPEDS data collected by NCES are subject to strict methodological standards. IPEDS data will not capture transfer activity but this will not affect temporal comparisons.

Data source(s). Beginning Postsecondary Student Study, 1990/94; next update, 2002. Integrated Postsecondary Education Data System, annual beginning with the 1997 year currently being processed.

Indicator 68. Participants receiving support services through the TRIO programs will enroll in and complete postsecondary programs at rates higher than comparable non-participants.

Indicator background and context. Redesigned performance reports will allow the Department to measure with more accuracy the success of funded projects in meeting the goals of the Federal TRIO programs. ED staff will use the data to provide better feedback to grantees on project and student performance that may be used to improve the quality and effectiveness of funded projects. Also, ED will be disseminating information on effective practices and strategies obtained from research studies and national evaluations.

Figure 73

Findings from the Student Support Services Evaluation

Among students beginning college in 1991, the Student Support Services (SSS) program had a small but positive and statistically significant effect on the following three measures of student outcomes:

- SSS recipients were 7 percentage points more likely to return to the same school for the second year than were comparable non-SSS recipients (67% vs. 60%). They were also 3 percentage points more likely to complete two years of college at any school (77% vs. 74%).
- SSS recipients, on average, had a GPA .11 points higher than comparable non-SSS recipients in the first 3 years of college.
- SSS recipients, on average, earned 2.25 more credits than comparable non-SSS recipients in the first 3 years of college.

Limitations of the data. Major program evaluations, while providing rigorous information comparing recipients and non-recipients, are only conducted very infrequently. We are currently assessing the feasibility of combining program performance reports with data on student aid recipients to assess the success of the TRIO programs in getting students to enroll in and complete college.

Verification/validation of measures. Evaluations are subject to strict methodological standards. Data reported by grantees on their annual performance reports on the performance of the TRIO programs will be verified against the evaluation results.

Data source(s). Student Support Services evaluation, 1997; next update in 1999 will include data on graduation rates. Upward Bound evaluation, data on college enrollment available in 1999. Program performance reports, annual.

Objective 3.3: Postsecondary student aid delivery and program management is efficient, financially sound, and customer-responsive.

Interim plan, final to be submitted in September 1999

Context: The Department of Education works with 6,000 postsecondary institutions, 6,100 lenders, and 36 guaranty agencies to deliver over $52 billion in grant, loan, and work-study assistance to almost 9 million students who rely on federal student aid to pay for college. The Department has identified the modernization of the student aid delivery system as one of its highest priority management objectives. This modernization will be managed by a newly authorized Performance-based Organization (PBO).

The PBO, created to improve the management of the student financial aid systems, became operational on December 8, 1998. The PBO is currently in the process of developing performance measures and a five-year performance plan consistent with the Higher Education Act that will be submitted to Congress in September 1999. The development of the five-year plan will involve an extensive collaboration effort with our partners. Much of that work will take place throughout the winter and spring under the Chief Operating Officer's Customer Service Task Force Initiative. Until this work is completed later this year, and as required by law, the PBO will be operating under an interim plan as described below. *This plan reflects the performance agreement between the Chief Operating Officer of the PBO and the Secretary of Education.*

External factors: Because this objective involves primarily internal ED initiatives, there are no external factors that should affect achievement of the objective.

Key strategies

The interim plan developed by the PBO identifies three key objectives that will guide its work until the final plan is completed in the fall.

- Improve Customer Satisfaction
- Reduce the Overall Cost of Delivering Student Aid
- Transform the Student Financial Assistance Office into a Performance Based Organization

Coordination with other federal agencies

- **Data matches.** Continue to work with Selective Service and the Immigration and Naturalization Service to perform data matches to efficiently and effectively determine eligibility for student aid.
- **Income information.** Work with the Internal Revenue Service to implement a new provision in The Higher Education Amendments of 1998 authorizing the Secretary of Education, in consultation with the Secretary of the Treasury, to verify tax information reported to the Department by students and applicants with information reported on Federal tax returns.

- **Tracking defaulters.** Work with other federal agencies, such as the Social Security Administration, U.S. Postal Service, and the Departments of Defense, Justice, and Housing and Urban Development to better track defaulted borrowers and return them to repayment.

- **New initiatives.** Work with National Performance Review to participate in Access America, a pilot program to use information technology to deliver government services and to increase government productivity.

Selected Accomplishments

Creation of a Performance-Based Organization

The Higher Education Amendments of 1998 (HEA) created a performance-based organization (PBO) to improve the management of the Title IV student financial assistance programs.

- The PBO has started work on performance measures and a five-year budget consistent with the requirements of the HEA that will be submitted to Congress in late Spring 1999.
- A Customer Services Task Force has been created to develop customer service recommendations that will become the basis of the PBO's five-year plan.

Y2K Compliance

The Department has made great strides in ensuring that the student aid delivery system will continue to function in the Year 2000.

- The Department's mission-critical computer systems are directly related to the delivery of student financial aid. Year 2000 compliance work has already been completed on 10 of 11 of these systems and work on the remaining 1 will be completed by March 1999.
- Contingency plans are being made to ensure the timely delivery of student aid even if Y2K computer problems do occur.

Making Better Use of Technology

ED has continued to utilize the latest technology in the delivery of student aid.

- The Department is well on its way to meeting its goal of receiving 3 million electronic applications by September 30, 1999, more than one year ahead of the original schedule.
- All publications relating to the delivery of student aid are available on the Internet and all student aid financial transactions must be done electronically.
- Eligibility checks performed through the National Student Loan Data System have prevented the award of over $1 billion in loans to ineligible borrowers since the system came on-line in 1994.
- Since the system was completely redesigned in the latter part of 1997, turnaround times for Direct Loan consolidation applications have improved by over 60% while volume has increased dramatically.

Reduce Defaults and Increase Collections

- Since 1990, the cohort default rate in the largest student loan program has decreased by over half from 22.4% to 9.6% in 1996.
- Collections on defaulted student loans have more than doubled from $1 billion in 1992 to $2.2 billion in 1998.

Performance indicators and charts

As discussed above, the PBO is in the process of developing a performance plan for the succeeding 5 years, as required in the Higher Education Act, that establishes measurable goals and objectives for the organization. The 5-year performance plan will be submitted to Congress in September 1999 after extensive consultation with all interested parties. In the interim, the following set of indicators has been developed to describe the specific actions the PBO will take in the next 7 months to ensure the continued efficient operation of the student aid delivery system and to set the stage for future modernization and improvement.

Subobjective 1: Improve Customer Satisfaction

- Put the new Recipient Fund Management System in place by 8/30/99 and ensure that users do not experience any degradation in service.

- Process Free Application for Federal Student Aid applications within an average turnaround time of eight days or less (through 9/30/99). *Current benchmark is 8 days.*

- Enable qualified Direct Loan schools to disburse money to qualified students while they wait (by 9/30/99).

- Continue to process completed Direct Loan Consolidation applications within an average turnaround time of 60 days or less (From 1/1/99 - 9/30/99). *Current benchmark is 54 days.*

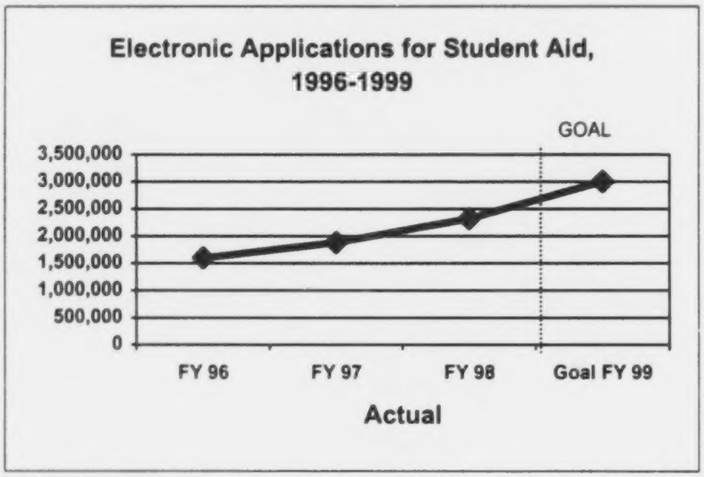
- Process all transactions with schools so that disruptions for students and schools are minimal (through 9/30/99).
  Benchmarks:
  -- After implementing RFMS, make Pell funds available to school within 36 hours of submission.
  -- Process all audits within six months.
  -- Complete reimbursement requests within 30 days.
  -- Respond to student complaints within 10 days.
  -- IPOS completes all transactions within established timeframes 95% of the time.

- Complete, validate and put in use all Y2K systems conversions (by 3/31/99).

- Establish a program to collect customer preferences and the PBO performance on an on-going basis (by 9/30/99).

- Attract three million new electronic filings from aid applicants for the twelve-month period ending 9/30/1999. *Currently, we anticipate receiving 2.6 million electronic FAFSA by 9/30/99; additional volume will come from borrowers electronically submitting their loan consolidation applications and schools submitting their eligibility applications. Three million is equal to approximately one-third of the annual volume of aid applications, an ambitious target originally established for the 2000-2001 award year.*

Figure 74

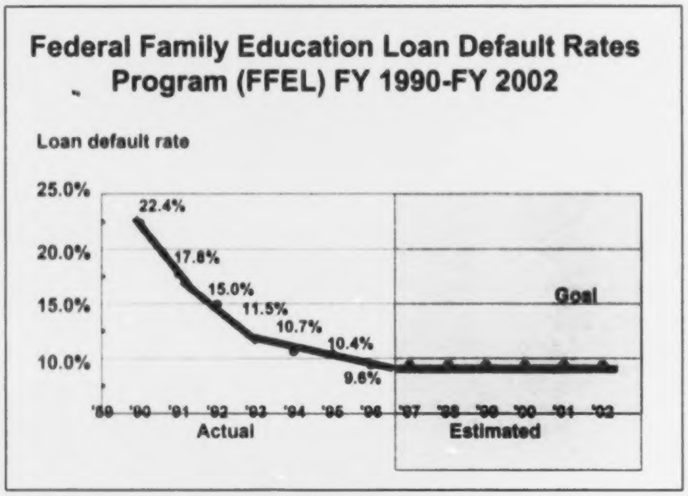


- Create five new positive experiences in services delivered to our customers and partners (by 9/30/99).
- Introduce five new electronic products and services - at least as pilots - which move us toward the EASI vision (by 9/30/99).

Subobjective 2: Reduce the Overall Cost of Delivering Student Aid

- Establish a baseline estimate of the overall costs of delivering student aid (by 9/30/99).
- Create a core measure or measures for judging cost reduction performance (e.g. total delivery dollars spent per assistance dollar outstanding by 9/30/99).
- Design a complete, subsidiary-style financial management system for the PBO (by 9/30/99).
- Provide all necessary support needed to achieve clean audits for FY 98 and FY 99, with FY 99 documentation delivered on time to support a March 2000 publication date.
- Maintain default recovery rate at ten percent or more of prior year-end outstanding balances (through 9/30/99). *Current benchmark is 10% reflecting the FY98 rate.*
- Maintain cohort default rate at ten percent or less (through 9/30/99). *Current benchmark is 9.6% reflecting the FY 96 rate.*
- Use performance based contracts in all major new contract awards (through 9/30/99).
- Extend current contracts, where that is necessary, early enough to avoid cost impacts (through 9/30/99).
- Review PBO operations to identify cost cutting actions in delivering student aid (by 4/1/99).
- Develop incentives to encourage high performance by partners.

Figure 75



Subobjective 3: Transform the Student Financial Assistance Office into a Performance Based Organization

- Conduct collaborative working sessions with partners – schools and the financial community – on how to improve services to students and cut overall program costs (by 4/30/99, feed ideas to the customer service task force). These collaborative working sessions are an essential part of the drive to identify the improvements most desired by our customers and partners.

- Find best in the business organizations that we can use to benchmark our processes, systems and people (make initial comparisons by 7/31/99).

- Deliver a task force report on how to make specific, top to bottom improvements in customer service and satisfaction (by 7/1/99).

- Complete a systems architecture and acquisition strategy for all-major PBO business processes and computer systems, to support our improved service and cost management objectives (by 7/31/99).

- Deliver a preliminary budget plan for the PBO by 4/1/99, (we will seek congressional concurrence at a later date for a comprehensive plan in order to use results from the customer service task force and architecture projects).

- With employees, develop a human resources and organizational plan for the PBO (by 9/30/99).

- With employees, develop a system to measure employee satisfaction (by 9/30/99).

- Deliver the five-year performance plan for the PBO, including recommendations for additional legislation to improve service and reduce cost (by 9/30/99).

- Hire an Ombudsman and build a complaint "cherishing" system (by 9/30/99). This function is required of the PBO under HEA reauthorization.

Objective 3.4: All adults can strengthen their skills and improve their earning power over their lifetime through lifelong learning.

Context: To keep pace with the changing economy, many workers need to upgrade their knowledge and skills, and some need to be retrained for entirely new jobs. Objective 3.4 focuses on providing adults with educational opportunities—through postsecondary education, adult basic education, or vocational rehabilitation—to acquire the knowledge needed for the new world of work and to lengthen their productive years. In addition to benefiting the individual worker, the economy as a whole will be strengthened through the creation of a more flexible and highly trained workforce. Federal programs attempt to improve literacy, enhance workforce skills, and provide postsecondary education and training opportunities to a diverse population of adult learners through an equally diverse cluster of organizations that operate in varied state contexts.

External factors: The target for indicator 1 is based on the receipt of sufficient funds to at least maintain current services in the VR state grants program. The Rehabilitation Act requires a state VR agency to implement an approved order of selection if it cannot serve all eligible individuals and serve first those persons with the most significant disabilities. About half of the state VR agencies are operating under an order of selection. We expect the number of persons with significant disabilities to continue to rise as a result of recent amendments that streamline VR eligibility requirements for Social Security beneficiaries.

Indicators 3 and 4 target the most educationally disadvantaged adults, including those with learning disabilities and English as a Second Language (ESL) learners who have limited literacy skills in their native language. Providing services that produce literacy gains for these adults is challenging, but the Department is pursuing a number of strategies targeted at this population, including studies of adult basic education and English as a Second Language to identify effective instructional practices, and a project to ensure more effective diagnosis of learning disabilities.

Key strategies

- **Financial support for postsecondary and employer-provided education**
    - Offer grants of up to $3,250 to adults seeking postsecondary education and training with the $7.9 billion request for the Pell Grant program (adults make up an estimated 10 percent of Pell Grant recipients).
    - Pilot the use of technology and other innovations in non-traditional education to improve the delivery of postsecondary education and lifelong learning opportunities for all citizens with the $20 million proposal for Learning Anytime Anywhere Partnerships.
    - Through the $2.6 billion request for the Lifetime Learning tax credits, help an additional 7.1 million students obtain postsecondary education.
    - Encourage adult learners to go back to school to learn new skills with the new $15 million Early Awareness Information program and the $30.5 million request for TRIO's Educational Opportunity Centers.

- **High-quality adult basic education (ABE) and secondary education**
  - Target the $103 million increase for Adult Education State Grants to help states enhance the capacity of adult education programs to improve learner retention and achievement, particularly for Hispanics and other adults with limited English proficiency.
  - With $70 million of the National Leadership request, launch Common Ground Partnerships–an English as a Second Language (ESL) and civics program designed to support states and communities with large concentrations of immigrants.
  - Use $23 million in National Leadership funds for Technology Challenge for Adult Learning grants that would help states incorporate technology applications into adult education and family literacy curricula.
  - With $2 million in National Leadership funds, support a High Skills Communities Campaign to help states and communities create strategies to promote lifelong learning and literacy and accelerate progress in meeting state and national goals related to adult education and lifelong learning.
  - Continue studies of "what works" in adult basic education and ESL programs to improve the quality of services.
  - Support State and private partnerships to develop a technology-based distance learning family literacy project.

Selected Accomplishments

Emphasized program accountability and performance.

- The reauthorized Adult Education and Family Literacy Act (Title II of the Workforce Investment Act) streamlines the program and places greater emphasis on program quality, performance, and accountability.
- Development and pilot-testing of a reporting system that meets the performance accountability requirements for the Adult Education and Family Literacy Act are near completion.
- The reauthorized Rehabilitation Act (Title IV of the Workforce Investment Act) provides greater access to training and employment services, enhances consumer choice in the Vocational Rehabilitation (VR) State Grants program, streamlines the state VR service delivery system, and improves program accountability.
- RSA has implemented strategies to improve the effectiveness of its program monitoring, including a new state monitoring system based on performance outcomes and meetings with program stakeholders to gather input on how it can enhance the utility of its monitoring reports.

Demonstrated economic benefits to employers.

- OVAE initiated a project with the U.S. Conference Board to demonstrate to employers, unions, and employees, the economic benefits of improving workers' literacy skills to enhance workplace performance.
- RSA's National Conference on Employment focused on developing effective relationships between state VR agencies and employers to improve consumer outcomes.

Implemented long-term technology and adult literacy initiatives.

- ED is building state alliances and leveraging local funds in developing family literacy projects. OVAE and OESE continued a collaborative project that included the implementation of family literacy demonstration projects that feature broad-based collaboration and the use of Even Start and Adult Education resources to leverage local resources.
- Staff at One-Stop Employment and Training Centers are using the toolkit developed by the National Adult Literacy and Learning Disabilities Center to diagnose learning disabilities.
- The Learning Anytime Anywhere Partnerships program helps ensure that high-quality learning opportunities are available to distance education students.

BEST COPY AVAILABLE

- **State and local program management in adult education**
    - Continue development work on a national performance based reporting system for the adult education delivery system.
    - To validate economic, educational, and other outcomes for adult learners; and develop and field-test a data-sharing methodology that will combine data from adult education programs with data from other state education, welfare, training, and employment programs.

- **Adult education an integral part of reformed welfare systems**
    - Disseminate information and provide technical assistance to key state and local adult education contacts on best practices and models for integrating preemployment and work readiness activities in basic skills programs

- **Employment for individuals with disabilities**
    - Work with other agencies to fund grants to let state and local consortia identify and work toward eliminating barriers to employment for individuals with disabilities.
    - Use the $2.316 billion request for Vocational Rehabilitation State Grants to support education and employment-related services, including vocational training and job placement.
    - Issue performance standards to increase accountability of state VR agencies in assisting individuals with disabilities to achieve high quality outcomes.

- **Access to assistive technology for individuals with disabilities**
    - Use the $15 million request for the Assistive Technology program to support grants to states to establish alternative loan programs enabling individuals with disabilities to borrow funds to purchase assistive technology.
    - Target $8 million of the request for the National Institute of Disability and Rehabilitation Research to support research and demonstration activities that will increase the accessibility of information technology and telecommunications.

Coordination with other federal agencies

- **Department of the Treasury.** Coordinate with the Department of the Treasury to implement the Lifetime Learning tax credit.

- **Department of Labor.** The Rehabilitation Services Administration (RSA) will work with the Department of Labor and the School-to-Work office to ensure that students with disabilities receive appropriate School-to-Work transition services.

- **Social Security Administration.** RSA will address with the Social Security Administration (SSA) the disincentives to work that affect SSA beneficiaries.

- **National Institutes of Health, the National Adult Literacy and Learning Disabilities Center, and the Office of Special Education and Rehabilitative Services.** The Office of Vocational and Adult Education (OVAE) will work with the National Institutes of Health, the National Adult Literacy and Learning Disabilities Center, and the Office of Special Education and Rehabilitative Services to develop information concerning learning accommodation strategies to facilitate the participation of adults with disabilities in literacy programs.

- **Coordination within ED**
  - **National distance learning project in family literacy**. OVAE and the Office of Elementary and Secondary Education will join forces to launch a national distance learning project in family literacy.
  - **National adult literacy survey**. OVAE will partner with the National Center for Education Statistics to support the development and execution of a second National Adult Literacy Survey.

Programs supporting this objective

Vocational and Adult Education

- Adult Education State Grants
- Adult Education National Leadership
- National Institute for Literacy
- Star Schools
- Community-Based Technology Centers
- State Grants for Incarcerated Youth
- Offenders

Vocational Rehabilitation

- Vocational Rehabilitation State Grants
- Independent Living
- Projects with Industry
- Supported Employment

Postsecondary Education

- Pell Grants
- Campus-based programs
- Federal Family Education Loans
- Direct Student Loans
- TRIO's Educational Opportunity Centers
- Learning Anytime Anywhere Partnerships

Research

- National Institute on Disability and Rehabilitation Research
- National Education Research Institutes

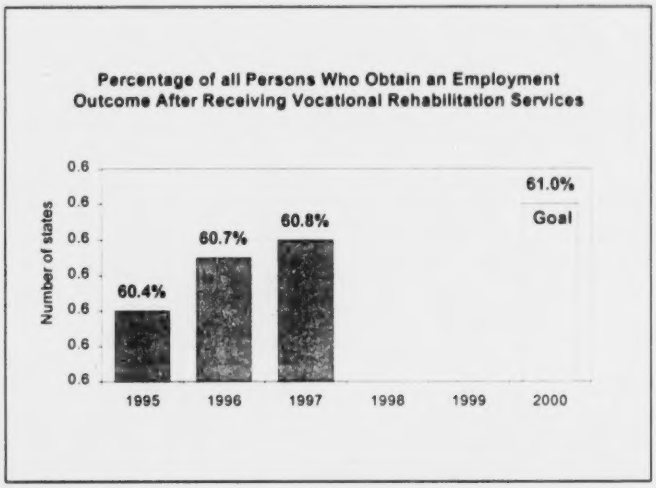
Performance indicators and charts

Indicators of lifelong learning (objective 3.4) include measures of the effects of federally funded programs and tax credits on encouraging adult literacy and employment, the percentage of persons who receive vocational rehabilitation services and then obtain and maintain employment, and the percentage of students in adult basic education who achieve proficiency in basic skills.

Indicator 69. In vocational rehabilitation, the percentage of all persons who obtain employment after receiving vocational rehabilitation services will be maintained at 61 percent.

Indicator background and context. Vocational Rehabilitation (VR) state grants provide services to help persons with disabilities prepare for and engage in employment to the extent of their capabilities. The program includes services such as vocational evaluation, counseling, mental and physical restoration, education, vocational training, work adjustment, job placement, and post employment services. Priority is given to serving individuals with the most significant disabilities. In recent years, the percentage of individuals with significant disabilities as a proportion of all individuals achieving an employment outcome has risen; the cost of rehabilitating individuals with significant disabilities has been consistently higher than for other individuals with disabilities. As a group, persons who achieve employment as a result of VR services show gains in their ability to function in economic terms (see Figure 76).

Figure 76

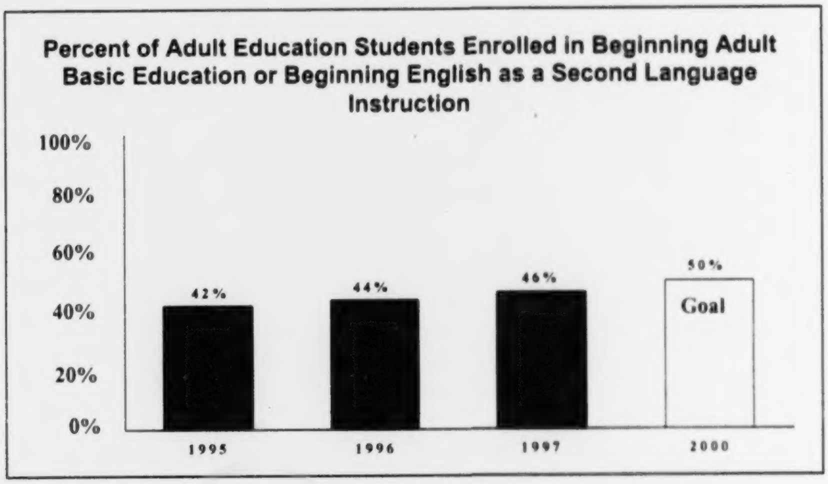


Limitations of the data. Data are reported by the states and are not independently verified. **Verification/validation of measures.** Routine monitoring and on-site reviews of Vocational Rehabilitation programs will specifically address procedures to verify grantee reports. **Data source(s)**. Rehabilitation Services Administration (RSA) state data. Next update: annually.

Indicator 70. By fall 2000, adults at the lowest levels of literacy (those in beginning ABE and beginning ESL) will comprise 45%-50% of the total national enrollment. (Adult Education State Grants and Knowledge Development program plan)

Indicator background and context. Consistent with its predecessor law, the new Adult Education and Family Literacy Act emphasizes serving the most educationally disadvantaged adults. For example, a state's needs assessment must include individuals most in need or hardest to serve. And, in making subgrants, states are to consider the applicant's past effectiveness in improving the literacy skills of those adults with the lowest levels of literacy. The indicator highlighted here underscores the importance of targeting services to an increasing percentage of educationally disadvantaged learners in the adult education system, despite the fact that it may be more difficult and time-consuming to achieve outcomes for this population than for other adults in the system who have slightly higher skills.

Figure 77

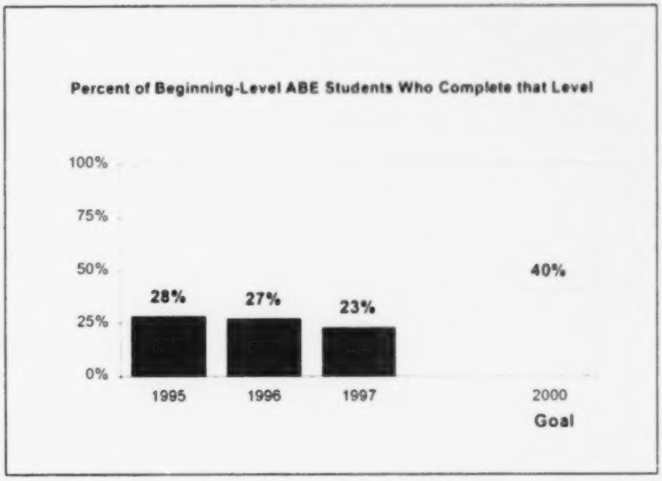


Limitations of the data. Data are reported by the states and are not independently verified. **Verification/validation of measures:** Routine monitoring and on-site reviews of Adult Education programs will specifically address state procedures to verify grantee reports. An ongoing study of Adult Basic Education providers will provide some independent information regarding program outcomes.
Data source(s). Adult Education Management Information System. Next update: annually.

Indicator 71. By 2000, 40 percent of adults in beginning-level ABE programs will complete that level and achieve basic skills proficiency. (Adult Education: State Grants and Knowledge Development program plan)

Indicator background and context. Adults who enroll in ABE at the beginning level tend to be the most educationally disadvantaged, with literacy skills roughly below the sixth-grade level. Currently, fewer than one-third of adults who enroll in beginning-level ABE in a given year complete that level within the year. Building on the previous indicator, this indicator stresses that it is not sufficient to ensure that educationally disadvantaged adults simply have access to appropriate adult education programs. The programs must be of sufficient quality to ensure that these learners succeed in them.

Figure 78

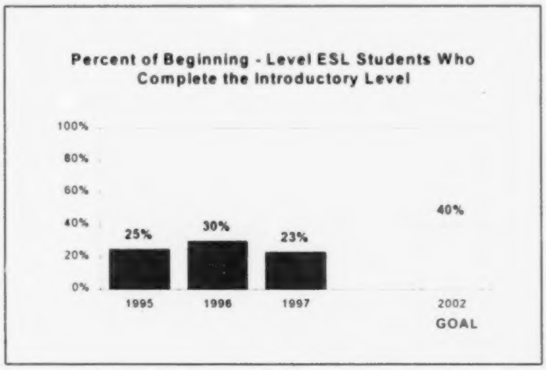


Limitations of the data. Data are reported by the states and are not independently verified. Data submitted by California are not included, because of problems in tracking student outcomes. **Verification/validation of measures.** Routine monitoring and on-site reviews of Adult Education programs will specifically address state procedures to verify grantee reports. An ongoing evaluation of Adult ABE providers will provide some independent information regarding program outcomes. **Data source(s).** Adult Education Management Information System. Next update: annually.

Indicator 72. By 2002, 40 percent of adults in beginning ESL will complete the introductory level and achieve basic English literacy. (Adult Education: State Grants and Knowledge Development program plan, indicator 2.2).

Indicator background and context. Well over half of all ESL learners enroll at the beginning level, but less than one-third of these students complete that level each year. This indicator highlights the importance the Department places on ensuring that English language and literacy instruction provided through federally funded Adult Education programs is of high-quality and leads to significant learner outcomes.

Figure 79



Limitations of the data. Data are reported by the states and are not independently verified. Data submitted by California are not included, because of problems in tracking student outcomes.
Verification/validation of measures: Routine monitoring and on-site reviews of Adult Education programs will specifically address state procedures to verify grantee reports. An ongoing evaluation of Adult ESL providers will provide some independent information regarding program outcomes.
Data source(s). Adult Education Management Information System. Next update: annually.

Goal 4. Make ED a high-performance organization by focusing on results, service quality, and customer satisfaction.

The Department's fourth goal, "Make ED a high-performance organization by focusing on results, service quality, and customer satisfaction," cuts across all programs and is critical to all goals and objectives described in ED's strategic plan. Goal 4 is organized around seven key themes: customer service, flexibility of programs, research, technology, employee development, financial management, and performance measurement.

Our progress and our Annual Plan for the Year 2000 reflect a focus on anticipating the needs of customers, both external and internal, and preparing for the next millenium. The plan reflects a commitment to investing in the training and technology available to the Department's employees so that better advice and service will be provided to the state and local education officials, students, teachers, parents and other customers of the Department. Our activities include identifying and training staff and managers in core competencies to promote high-performing employees. To achieve our goal of making ED a high-performance organization, work is under way to further clarify the Department's goals and to improve our ability to measure our performance. By 2000, the Department hopes to see improvements in its employees' perceptions about work readiness, performance, equity, workplace services, and the other issues measured in our Employee Survey.

In addition, the Department will continue to find ways to build on its successes in using technology to improve the quality and timeliness of its products and services. These services include information dissemination and administering grants and loans. Internally, we will use technology in new ways to facilitate communication between employees about the quality of their work, the services they provide to customers, and the ways in which they are able to grow and develop professionally. The ubiquity of the Internet offers tremendous possibilities for improvements in our business processes and improvements in customer service. We will be exploring these possibilities.

Strategies in Goal 4 were developed from a variety of sources: results of employee surveys, feedback from external customers, reviews of effective practices in management literature, reviews of successes achieved by government and industry, and reports from the General Accounting Office and the Office of Inspector General. During 1998-9, progress was made on each of the Goal 4 objectives:

1. **Customer service.** During 1998, the Department improved its ability to deliver high-quality information services through its toll-free phone numbers and Web site. During 1999, the Department will make substantial progress on improving its service to customers requesting published information through "ED Pubs," a centralized distribution system for Department publications recently described in *Government Executive* magazine. In addition, greater emphasis will be placed on developing customer feedback systems that are used to improve program management, service delivery, and policy development.

2. **Flexibility of programs.** During 1998, progress continued on finding ways for the Department to reduce its regulatory and paperwork burden on grantees and other customers

without reducing the level of program performance. During 1999, the Department will focus on writing regulations and policies in plain English, integrating program review and technical assistance across "stovepipe" programs, and building partnerships, where possible, to achieve critical program results.

3. **Research.** During 1998, the Department made substantial progress on directing resources to research on achieving national education priorities. It is critical that the nation possess a healthy knowledge base to support systemic education reform and equity. Adequate capacity, a relevant research agenda, high quality research, and useful findings and products are necessary for a sustained knowledge base. The Department of Education supports research primarily through the Office of Educational Research and Improvement. Key strategies include forming partnerships with other agencies to conduct cutting edge research and focusing research on solving critical problems in educational policy and practice.

4. **Technology.** In addition to improving student financial aid administration (described in Goal 3 of this plan), ensuring that the Department's systems are Year 2000 compliant remains a high priority. Thirteen of the Department fourteen mission critical systems have completed their Y2K conversion. The single remaining mission critical system will be Y2K compliant by March 1999. The Department is expanding its Internet presence and building an Internet to improve workflow processes and communications.

5. **Employee development.** During 1998, the Department continued to offer better training to employees. The Department's Training and Development Center benchmarked its operations with other high-performing organizations and identified strategies for greater effectiveness. A continuing dialogue on race relations in the Department provided insights about communication and employee life issues, which will be addressed during 1999. Strategies to reinforce high organizational performance include increased management training and organization performance reviews.

6. **Financial management.** In 1998, the Department received a clean audit opinion on its financial statements, and another is planned for in 1999. Also, during 1999, work will continue on improving the delivery of timely and reliable financial information to better manage the Department and its programs. Improvements will continue in the contracts and purchasing processes to support strategic Departmental objectives.

7. **Performance measurement.** The Department's five-year Strategic Plan received high marks for being "user friendly" and for providing a coherent framework of goals, objectives and indicators to provide for the measurement of progress and accountability. ED has implemented performance agreements with senior staff to hold them accountable for achieving the goals of the Strategic Plan.

Objective 4.1: Our customers receive fast, seamless service and dissemination of high-quality information and products.

Context: To accomplish its mission of ensuring equal access to information and promoting educational excellence throughout the Nation, the Department of Education must support the efforts of states, postsecondary institutions, school districts, school boards, schools, community and business organizations, principals, teachers, parents, and students. All of these customers look to ED for fast, accurate information and assistance to meet their various education needs. ED is taking advantage of information technology to provide improved services to customers.

External factors: Rapid increases in the introduction of new technology make it easier to provide better services to a greater number of customers. Electronic distribution of publications will enable the Department to provide increased numbers of products - by an order of magnitude - than was possible with print distribution.

Key strategies

- **Equip employees with the resources they need to respond to customer requests.**
  - Develop a descriptive referral list of where to find key information and services for all ED employees.
  - Integrate customer service into all training and orientation for staff, managers and new employees. Identify specific customer service related training needs for ED employees.
  - Establish *Front Line Forum* on Intranet to facilitate staff participation in discussions about challenging customer service problems and solutions, updated information, and customer feedback.

- **Establish a system that enables customers to easily obtain materials and information products.**
  - Continue to use the ED-PUBS system to improve the efficiency of the dissemination of materials produced by ED, including publications and grant applications, and to operate as a call center.
  - Develop a centralized mailing list.
  - Develop a products catalog of hard copies of publications for ED-PUBS.
  - Develop mini-catalogs that target a specific area of interest for the ED-PUBS System. (e.g. publications in Spanish, publications on Special Education)
  - Alliance with USA Today has resulted in the Partnership for Family Involvement in Education web site being hosted by USA Today and made accessible through their main news site which receives more than 75 million hits a day, greatly expanding the visibility of ED's publications and on-line services.

- **Ensure that customers with disabilities have access to services and information.**
  - Ensure that customers have access to the information and services they need in the ways that they need them including live service and self-service, convenient hours, bilingual staff and Spanish menu prompts, TTY access, and products in Braille and large print.

- **Develop a system for using feedback for improving customer service.**
  - Incorporate customer-satisfaction measures into key policy and organizational activities and annually report on customer satisfaction by key customer groups (e.g., teachers, grantees).
  - Develop communication structure for ED managers to report up and down on customer service.
  - Develop integrated systems for creating customer-driven culture and operations and create best-practices database.
  - Introduce an automated customer-quality survey system into ED's call centers, including ED-PUBS and ED's Student Financial Aid Information number (1-800-4FED-AID) . Expand customer surveys at major ED conferences, visits, speeches and other customer contacts.

- Include in performance agreements of Senior Officers a measure of progress on customer satisfaction.
- Include a customer survey as part of a system of electronically transmitted grantee performance reports.

Selected Accomplishments

Dramatically increased customer contact on web and over phone

- The ED Home Page's total number of page views for 1998 is more than double last year's total and is up to over 3.2 million.
- The Student Financial Aid Information's number (1-800-4FED-AID) total call volume for 1998 indicated a 51% increase from the 1997 total.
- ED-PUBS publications-request facility became operational in May with activity increasing monthly. The center receives approximately 700 calls and 300 on-line requests a day from customers ordering ED materials and information products.

Received customers' praise and listened to feedback resulting in new, targeted approaches

- Teachers named ED web site as the most frequently used site according to the third annual study of teacher Internet use by Quality Education Data (QED). ED-sponsored Educational Resources Information Center (ERIC) web site was named the second most frequently used site.
- The Planning and Evaluation Service and the Office of Postsecondary Education collaborated o study of customer satisfaction among financial aid applicants. Results indicated that applicants were generally pleased with the process
- Menu options for 1-800-USA-LEARN information call center changed to route customers to sta more directly and quickly.
- ED web site was redesigned with particular attention on improving search tools and finding aids in response to customer survey findings. The site also was made more accessible to customers with disabilities.
- "Educacion-La Tarea De Todos" was broadcast on Univision television stations throughout the country. A total of 770 calls were received requesting two of ED's Spanish publications.
- Alternate Format Center began producing documents in Braille and audiotape, and provided qui turnaround on several Notices of Proposed Rulemaking and new regulations.

Chartered Customer-Service Strategy Teams

- Customer service strategy teams with department-wide representation chartered to develop tools to help employees and managers improve customer service and a framework to assess the gathering and use of customer feedback and to develop ED's first report on the quality of customer service.

Coordination with other federal agencies

- **National Partnership for Reinventing Government (NPRG).** Continued to work NPRG to network with other federal agencies on best practices for customer service delivery.
- **Federal Publisher's Committee.** Continue work with the Federal Publisher's Committee (FPC) to keep ED aware of the changes in the printing requirements and printing technologies for government agencies.
- **Government Printing Office's (GPO) Depository Library System.** Continue work with this library system to ensure all ED documents printed by GPO are deposited in the public domain for use by all taxpayers and citizens.
- **General Services Administration's Consumer Information Center (CIC).** Continue work with the CIC to develop, promote, and distribute ED publications to the public.

BEST COPY AVAILABLE

Performance indicators and charts

The data presented below describe ED's provision of direct public access to web resources and call centers.

One of the most important aspects of this objective and the initiatives outlined is the need for customer service to be integrated not only into our most popular and used services, but throughout ED. In order for the Department to incorporate concepts and best practices related to customer focus into daily operations, we are developing cross-cutting approaches for meeting this objective. The indicators in this objective seek to track performance on meeting ED's customer service standards and in providing quality products and services to the public that are timely and accessible.

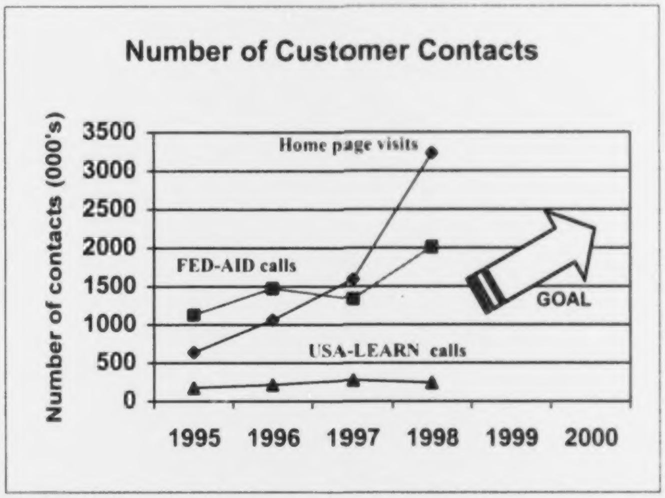
In 1999, ED is coming out with a comprehensive report that summarizes customer satisfaction by major customer service areas.

Indicator 73. The Department continues to increase public access to information as measured by WEB page visits and number of calls received by call centers.

Indicator background and context. Customer use of ED's Home Page and information call centers (see Figure 80) is significantly increased and, in some cases, has more than doubled. The ED Home Page's total number of page views for 1998 is more than double last year's total. The Student Financial Aid Information's number (1-800-4FED-AID) total call volume for 1998 indicated a 51% increase from the 1997 total

ED's main information line (1-800-USA-LEARN) shifted its publication distribution services to ED PUBS. This caused a decrease in its call volume but not nearly as much as was anticipated due to the growth in information calls to the center.

Figure 80



Limitations of the data. Web page visits count repeat visitors and do not reflect unduplicated customers.
Verification/validation of measures: System-generated data.
Data source(s). Information Resource Center (IRC) data systems, National Library of Education (NLE) data systems, Student Financial Aid Information System.

Indicator 74. By 2001, at least 90% of customers, internal and external, will agree that ED products, services, and information, including those on the Department's web site, are of high quality, timely, and accessible.

Indicator background and context. A 1998 Internet online customer survey indicated that overall satisfaction with ED's Internet services is high:

ED's WEB Site Ratings by Visitors on a Scale of 1 (lowest) to 5 (highest)

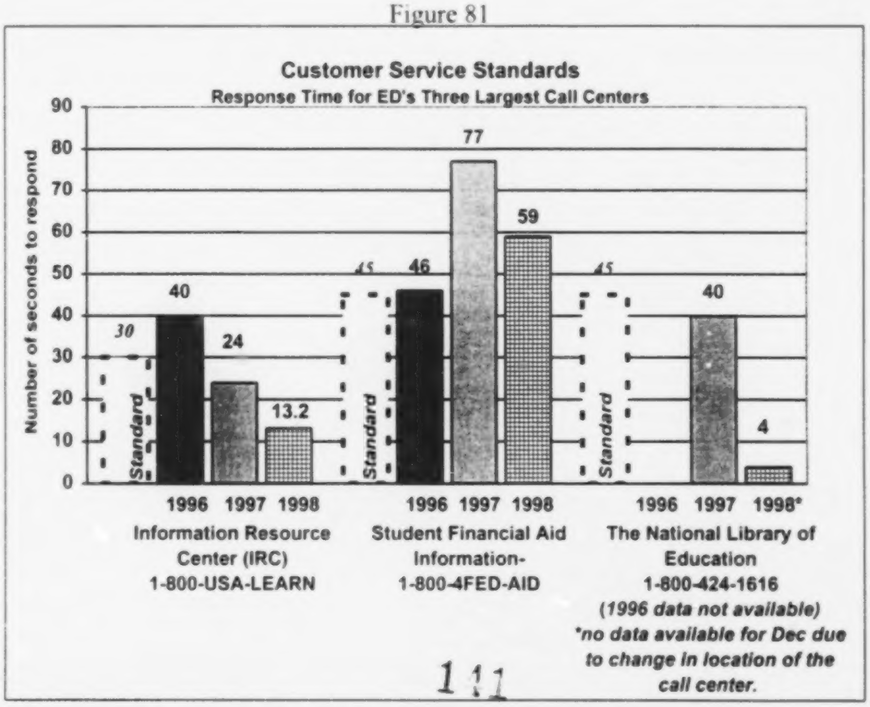
- 3.87 on a scale of 1 to 5 with even higher scores given to clarity of writing, accuracy, and timeliness.
- The year 2000 target is to increase customer satisfaction (receive a 4 on a scale of 1 to 5) while continuing to expand the volume of information on the home page.

Limitations of data. Data reported from self-selected respondents of visitors to ED's web site.
Verification/validation of measures. System generated reports from respondent data.
Data source(s). National Library of Education.

Indicator 75. Department employees and front-line service centers will meet or exceed the Department's customer service standards by 2000.

Indicator background and context. ED's main call centers have shown significant improvements in the reduction of wait times for customers (see Figure 81). For ED's main information line (1-800-USA-LEARN) the wait time for 1998 decreased by 45% from the 1997 average. The Student Financial Aid Information number (1-800-4FED-AID) had experienced problems earlier this year with its telephone system and was able to rectify the problems by June 1998. Installing more phone lines and adding more staff brought about an 18-second (23.3%) decrease in waiting time.

Figure 81



Limitations of the data. Data on standards is mostly limited to ED's call centers. There are few mechanisms in place that gather data for the balance of ED's employees. Standards shown are set by the service provider.
Verification/validation of measures. Most of ED's main call centers operate on technologically advanced systems that capture system data.
Data source(s). Information Resource Center (IRC), Student Financial Aid System (1-800-4FED-AID), and the National Library of Education (NLE) data systems.

Indicator 76. Quarterly evaluation reports for the "ED PUBS" (formerly One-Pubs) system, based on quality assurance surveillance, will indicate that high standards of performance are achieved for dissemination of ED's information products by 2000.

Indicator background and context. In response to poor ratings for ED's publications distribution, a centralized, one-stop shop for publications (ED-PUBS) was developed to disseminate ED materials and products, including publications and grant applications and to operate as a customer call center. The performance-based calls for the contractor's performance to be evaluated on a regular basis to ensure customer satisfaction and process improvement. The initial data indicate that:

Average call-waiting time for ED-PUBS call center

- The average wait time for customers accessing the center via telephone was 4.1 seconds in December, 11 seconds in November, and 10.9 seconds in October, well below the 45-second industry standard.

Limitations of the data. The ED-PUBS system has only been operational since May 1998. Qualitative data will be available after the customer satisfaction survey is in place (projected April 1999).
Verification/validation of measures. An independent contractor operates the system under a performance-based contract that has performance measurements built into the contract.
Data source(s). ED-PUBS Contracting Official Technical Representative (COTR), ED-PUBS system.

Objective 4.2: Our partners have the support and flexibility they need without diminishing accountability for results.

Context: When the Nation's governors, including then-governor Bill Clinton, met at the 1989 Education Summit at Charlottesville, Virginia, a top priority was to secure greater flexibility in the administration of federal education programs in exchange for greater accountability for improved student achievement. Under President Clinton, the Department has worked hard to remove statutory and regulatory impediments to innovative education reforms, while continuing to ensure protection of basic civil rights and the proper expenditure of taxpayer dollars.

External factors Education programs are, in many cases, bound by statutory provisions for which ED cannot offer flexibility. We are working with the Congress to use simplified language, to the extent possible, in new legislation.

Key strategies

- **Technical assistance system.** Create a strategic framework for technical assistance providers and coordination across technical assistance centers, conferences, integrated reviews, online services, and other activities. We continue to examining the issues in targeting technical assistance to the customers in greatest need for this assistance.

- **Regulatory/legislative reinvention.**
  - Promote efficient implementation and provide greater flexibility for grantees in implementing the Individuals with Disabilities Education Act Amendments of 1997.
  - Simplify legislation during reauthorization while designing programs to be more results-oriented.
  - Promote efficient implementation of the Workforce Investment Act and provide flexibility for grantees.
  - Redesign regulations covering postsecondary student aid and higher education programs following the reauthorization of the Higher Education Act.
  - Implement President's initiative on Plain Language to ensure all regulations are understandable.
  - Increase opportunity for educational community to have their concerns addressed in developing regulations through the use of negotiated rulemaking

- **Program streamlining and flexibility**.
  - Use the Department's waiver authorities to provide flexibility in cases where federal requirements may interfere with plans for improving teaching and learning.
  - Support ED-FLEX states as they implement their delegated authority to waive federal requirements.
  - Encourage consolidated planning at the state and local level.

- **Comprehensive Regional Assistance Centers.** Through the 15 Comprehensive Regional Assistance Centers, increase the effectiveness of technical assistance aimed at integrating the various Elementary and Secondary Education Act programs in support of state and local education reforms including focussing assistance on high priority areas such as reading.

- **Improved audit resolution**. Expand to 25 states in FY 1999 the Cooperative Audit Resolution and Oversight Initiative (CAROI), a federal-state partnership that aims to improve education programs and student performance at the state and local levels through better use of audits, program monitoring, and technical assistance.

- **Integrated program reviews.** In collaboration with the states, use joint technical assistance and monitoring activities for elementary and secondary education programs to support a self assessment process to encourage continuous improvement in states' administrations of these programs. Coordinate with the Council of Chief State School Officers to develop procedures for consolidated performance reporting.

Selected Accomplishments

Established a multi-program coordination review strategy for working with state agencies

- ED implemented a Department-wide program coordination review program. Instead of 11 separate State-agency program reviews, cross-program teams of staff from multiple program offices provide a single integrated review and technical assistance. These cover varied areas including information on recent changes in audit requirements and information about standards, assessment and accountability during site visits to state and local educational agencies.

Targeted assistance to large, high-complaint district—with results

- The Office for Civil Rights and the once high-complaint Chicago Public Schools (CPS) have formed a collaborative working relationship that has greatly benefited the 420,000 students enrolled in the district's 567 schools. The partnership saw a decrease in the number of complaints filed against the district, faster complaint resolution, and increased communication and sharing of information.

Removed barriers to school reform

- ED has approved 55% of 648 requests for waivers of statutory or regulatory provisions that pose barriers to standards-driven reform. The majority of the remaining requests were withdrawn as the applicants already had flexibility under the existing laws and regulations to undertake their desired actions. These waiver activities are helping local educational agencies to reach their school reform goals.
- Twelve states, the maximum authorized, are participating in the ED-Flex demonstration program which allows the Department to give States with strong accountability mechanisms the authority to approve waivers of certain federal statutory and regulatory requirements that impede effective local-level reform.
- States have the option of submitting a single consolidated application for the majority of ESEA programs, which states report has reduced paperwork requirements by 85 percent.

- **Civil rights partnerships.** Establish constructive and collaborative relationships with state and local education agencies, parents and community groups, and other stakeholders to achieve the shared objectives of civil rights compliance and securing timely improvements for students.

- **Improve the timeliness of grants awards.** Ensure that formula and discretionary grants are issued to our partners in time for state and local program planning and operations, by requiring that program offices award grants by May 1 wherever beneficial to grantees.

Coordination with other federal agencies

- In providing support and flexibility for our partners, ED coordinates primarily with state and local agencies. Goals 1, 2 and 3 outline ED's coordination activities with other federal agencies.

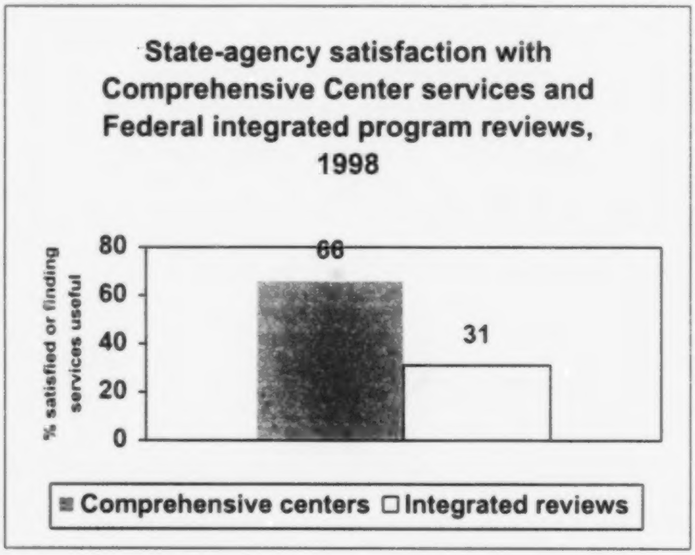
Performance indicators and charts

The following indicators measure the Department's progress in providing the support and flexibility customers need. Collectively the indicators show progress at varying levels in the areas of technical assistance, reducing the number of separate programs, granting flexibility and increasing understanding of program rules and requirements, and issuing grants on a timely basis.

Indicator 77. Surveys of states and school districts will increasingly rate the Department's technical assistance, including assistance from the Comprehensive Centers and integrated reviews, as very useful in improving their performance.

Indicator background and context. In 1998, the Department implemented a Department-wide Program Coordination Review program and completed three program coordinated reviews in the spring. In response to customer satisfaction information, the Department changed the integrated review process by incorporating a self-appraisal guide with clear performance standards. Federally-supported Comprehensive Regional Assistance centers provide assistance to grantees in implementing and integrating federal programs with their reform efforts.

Figure 82



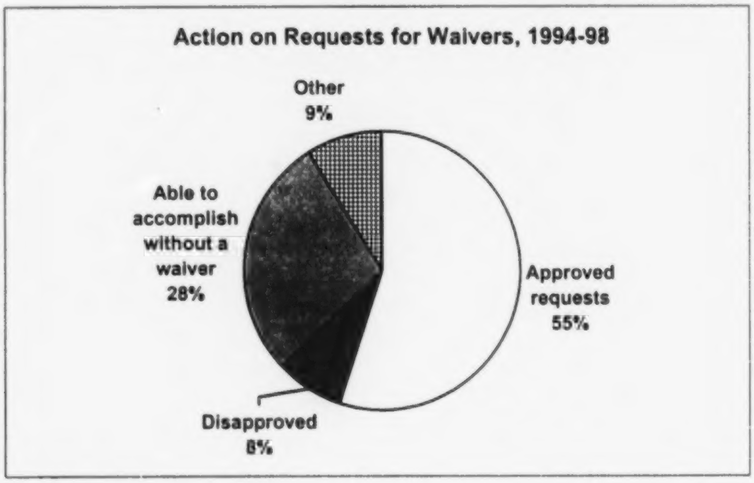
State-agency satisfaction with Comprehensive Center services and Federal integrated program reviews, 1998

Limitations of the data. The integrated review team and customer service teams are revising their services so that past customer satisfaction rates may not reflect current satisfaction.
Verification/validation of measures. Documented data to date collected by independent contractor.
Data source(s). Department-wide Program Coordination Reviews Summary and Analysis, Spring 1998. The Integrated Review Process, 1996. States' Perspectives of OESE Integrated Reviews, 1998.

Indicator 78. Customers will increasingly report that they have greater flexibility and better understanding of rules and requirements of education programs.

Indicator background and context. Waivers provide customers greater flexibility in administering federal education programs. Since the reauthorization of ESEA in 1994, the Department has received 648 requests for waivers from states and local districts and granted a total of 357 waivers (see Figure 84). Overall, the Department has approved 55 percent and disapproved 8 percent of all waivers requested. Of the remainder, 28 percent were withdrawn largely because districts learned that they had sufficient latitude or flexibility under existing law to proceed without a waiver, demonstrating that the ESEA is more flexible than many people thought even without the waiver authority.

Figure 83



Limitations of the data. In reporting baseline data on greater flexibility, there is difficulty in measuring customers' perception of flexibility based solely on the number of waiver requests the Department receives as there are a number of factors contributing to whether a waiver is even requested.
Verification/validation of measures. District and state survey data were obtained from an independent assessment under contract with the Department. An update of that survey will be conducted. Program monitoring activities will explicitly address coordination and flexibility issues and will be independently verified by program evaluations at state, district, school and institutional levels conducted through the Planning and Evaluation Service.
Data source. Reports on Reform from the Field: District and State Survey Results, 1997. Waivers: Increased Flexibility in Exchange for Increased Accountability, 1998.

Indicator 79. New discretionary grants processed using the re-engineered grant-making process will be awarded each year on a timely basis.

Indicator background and context. In the past, the grant making cycle was unduly influenced by the timing of the federal fiscal year. Our re-engineered grant process is based upon making grants in an timely fashion that is not bound by the parameters of the fiscal year. ED is committed to making new grant awards in time so that grantees can plan for successful implementation. The Department has set a May deadline for the completion of grant awards.

Percentage of new grants awarded by May

- 1998 32 percent
- 1999 48 percent (goal)
- 2000 60 percent (goal)

Limitations of the data. Limitations are minor and have little overall impact.

Verification/validation of measures. Data are validated against data runs done by the Grants Policy and Oversight Staff from the Grants Administration and Payment System.
Data source(s). Self-reports from Principal Offices; Grants Administration Payment System Reports.

Indicator 80. Reports from program monitoring teams and audit reports under the Single Audit Act will show a reduction in significant findings.

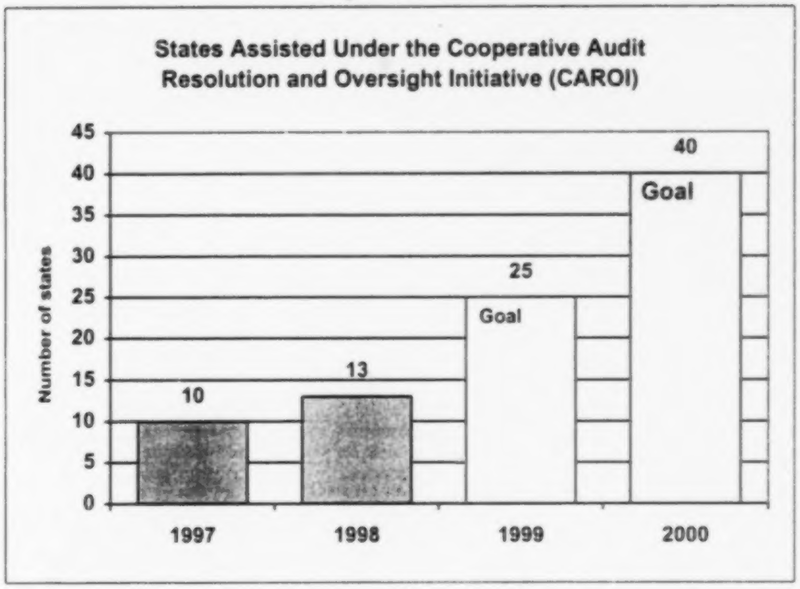
Indicator background and context. Recurring findings identified during program monitoring reviews and single audits, such as those under the Single Audit Act, provide one measure of the success of corrective action taken by grantees to better manage federal education funds and adhere to grant terms. Cooperative Audit Resolution and Oversight Initiative (CAROI) efforts to resolve audits to date, in specific States, have yielded reductions in instances of time distribution violations, and other significant recurring findings. The Department plans to continue to employ the CAROI approach to effectively address audit issues and prevent findings from recurring in subsequent years. Data collection to create baseline data for future performance measurement began in late 1998. The FY 1996 Single Audit reports received by the Department identified 89 findings repeated from prior years.

Limitations of the data. CARS, ED's automated Central Audit Resolution System, tracks the number of single audit findings and can now identify audit findings from one year to the next. ED will begin retrieving from CARS the number of findings by State reported in FY 1996 single audits and chart the number of recurring findings beginning with the FY 1997 single audit reports and for each year thereafter. With regard to program monitoring, most Program Offices currently do not have databases that track findings identified during program reviews. To measure recurring findings identified during program monitoring reviews, databases in the Program Offices will need to be created.
Verification/validation of measures. OMB requires that single audit reports contain a section on recurring findings. These recurring findings are verified and validated by independent auditors. During program monitoring reviews, review teams comprised of ED staff identify and report findings. Reports are maintained in various program offices.
Data source(s). Single Audit reports, ED's Central Audit Resolution System and ED program monitoring review reports.

Indicator 81. The number of states participating in the Cooperative Audit Resolution and Oversight Initiative (CAROI) will increase to meet the needs of our partners.

Indicator background and context. As of August 1998, there are 13 states participating in CAROI (see Figure 85). The target level of participation is 40 states by 2000. The Department projects that by the end of FY 1999, at least 25 states will be participating. CAROI serves as a collaborative method that links program, finance, auditing, and legal staffs at the federal and state levels to provide alternative and effective approaches to resolve findings and recurring problems identified through audits. The goal of CAROI is to improve education programs and the management of those programs at state and local levels through better use of audits, monitoring, and technical assistance. A primary objective of addressing issues in a straightforward and collaborative manner is to minimize costly litigation.

Figure 84



Limitations of the data. This indicator measures the number of states participating in CAROI rather than desired outcomes.
Verification/validation of measures. Signed participation agreements are on file at the Department of Education.
Data source(s). Office of Inspector General's database system(s).

Objective 4.3: An up-to-date knowledge base is available from education research to support education reform and equity

Context: It is critical that the nation possess a healthy knowledge base to support systemic education reform and equity. Nearly all states and districts have drawn on research findings to help frame their school improvement efforts. The nation's student population is growing more diverse. Parents and the public are expecting schools to help all students reach high standards. Consequently, high quality research is needed to meet the demand for specific, evidence-based guidance and effective strategies to help improve student achievement and close the achievement gap.

Adequate capacity, a relevant research agenda, high quality research, and useful findings and products are necessary for a sustained knowledge base. The Department of Education supports research primarily through the Office of Educational Research and Improvement (OERI). Key areas of education research include: at-risk students, education governance and finance, assessment, early childhood development, postsecondary education, professional development and effective teaching, early reading, and mathematics and science instruction. In addition, the Department funds research and development activities in the areas of special education, bilingual education, adult literacy, and vocational education.

External factors: While conducting educational research and collecting data is an acknowledged federal role, limited resources for research and development activities often restrict the capacity of the federal government to sufficiently address the wide range of important educational problems facing the nation. Currently, less than 0.1 percent of the $300 billion spent annually on public K-12 education supports educational research. This is in sharp contrast to the 23 percent that the pharmaceutical industry, for example, spends on developing and testing prescription and non-prescription medications. And it is far less than the federal investment in health research which is estimated to be 30 times larger than the investment in education research.

Key strategies

- **Form partnerships with other agencies to conduct cutting edge research.**
  - OERI, NSF, and NICHD have announced a new interagency Education Research Initiative designed to bring together researchers from various disciplines.
  - NCES and NSF are jointly funding a replication of the Third International Math and Science Study (TIMSS) in 8th grade in spring, 1999 to help states and districts benchmark student performance.
  - OERI and NICHD have initiated a joint effort to study how Spanish-speaking children learn to read English.
  - The National Center for Education Statistics, the Department of Agriculture, and the Department of Health and Human Services will add a birth cohort to the Early Childhood Longitudinal Study.
- **Strengthen internal research capacity.**
  - Continue to recruit visiting scholars through a partnership with the National Research Council.
  - Initiate a new post-doctoral fellowship program to strengthen intramural research.

- Recruit new, diverse staff with extensive research background to agency.

Selected Accomplishments

Informing policies and practices in systemic, standards-based reform

- The OERI-supported Consortium for Policy Research in Education (CPRE) has provided research and helped design standards-based reforms in several states including MI, DE, MA, and MO.
- The OERI-supported National Center for Research on Evaluation, Standards, and Student Testing (CRESST) has helped states develop new assessment systems aligned to their state content standards, including CA, WA, KY, MD, HI, AZ, CO, TX, VT, and WY.
- NCES and NSF are jointly funding a replication of the Third International Math and Science Study (TIMSS) in 8th grade in spring, 1999 to help states and districts benchmark student performance.
- Comprehensive approaches to educating students at-risk of academic failure like **Success for All** have been developed by the OERI-supported Center for Research on the Education of Students Placed At Risk (CRESPAR). These approaches have been adopted in over 1,100 schools in 44 states with the adoptions continuing to increase.
- NCES publications, such as the Condition of Education and the Digest of Education Statistics are extensively used by states as statistical resources on educational trends. NAEP data are being used by over 40 states to benchmark state results to national data and are issued on a more timely basis.
- CRESST is working directly with the Los Angeles Unified School District and Chicago Public Schools in revising their assessment systems and revamping their management information systems to track students' progress, enhance reporting (particularly for Title I students), and make informed data base decisions.
- The National Academy of Sciences report "Preventing Reading Difficulties in Young Children", which was supported by the Department, is being used by states and districts to improve reading instruction.

Building research capacity to solve critical problems in education

- OERI, NSF, and NICHD have announced an interagency Education Research Initiative (ERI) to foster innovative research, including large-scale intervention studies, on school readiness, K-3 learning in reading, math, and science, and pre K-12 teacher education in reading, math, and science.
- OERI and NICHD are developing a research program to learn more about effective ways to teach Spanish speaking children to read in English.
- Initiated, with the National Research Council, a visiting scholars program to help improve OERI's internal capacity to plan and direct research.
- ED (NCES), USDA, and HHS are jointly undertaking an early childhood longitudinal study.

Enhancing research quality by setting standards and strengthening peer review

- Completed all mid-point peer reviews of OERI's Research and Development Centers.
- Improved standards for data collection, analysis, and reporting by NCES.
- OERI has commissioned an expert panel to develop guidelines for judging the quality of educational research.
- Improved peer review system initiated for the current Field Initiated Studies competition to ensure support of the highest quality proposals.

- **Focus research on solving critical problems in educational policy and practice.**
  - OERI's advisory board, the National Educational Research Policy and Priorities Board, has contracted with the National Academy of Education to develop a research agenda to help close the achievement gap.
  - The OERI, NSF, NICHD interagency Education Research Initiative will focus on developing reading and mathematics skills in young children, improving school readiness, improving the use of technology, and improving professional development for educators, leading to large-scale interventions.
  - Include state and local policy makers, practitioners, and representatives from appropriate organizations in the development of research plans.
  - Work with associations of policymakers and practitioners to develop a new system to evaluate the relevance of OERI-funded research efforts.

- **Ensure that research and development activities are of high quality.**
  - Develop guidelines for judging the quality of educational research.
  - Improve procedures for peer review of field-initiated studies to ensure funding of the highest quality proposals.
  - Work with NICHD on peer review standards and procedures for jointly funded activities.
  - Work with OERI supported research and development centers to follow-up on mid-point reviews.
  - Work with associations of researchers to develop a new system to evaluate the technical soundness of OERI-supported research.

Coordination with other federal agencies

For coordination efforts, please see section above, "Key Strategies."

Programs supporting this objective

- National Education Research Institutes
- Regional Educational Laboratories
- National Center for Research in Vocational Education
- National Programs in Adult Education
- National Institute on Disability and Rehabilitation Research
- IDEA: Research and Innovation (Part D)

Performance indicators and charts

Indicator 82. Education research is responsive to high priority needs of education policy makers and practitioners.

Indicator background and context. All applications for education research funding are currently evaluated by peer reviewers for national significance, and only those judged significant are funded.

Limitations of the data. The definition of national significance has been left to the judgment of individual reviewers.

Verification/validation of measures. OERI will develop a process to validate the results of the new system described below.

Data source. Working with representative professional organizations of education policy makers and practitioners, OERI will develop a new system to evaluate the relevance of the research it funds to solving critical problems faced by education policymakers and practitioners. Collected throughout the year and reported annually beginning in fall, 1999.

Indicator 83. Education research meets standards of fully acceptable scientific quality.

Indicator background and context. There is more frequent use of peer review standards to guide internal competitions for OERI research funds. A major OERI initiative to develop commonly accepted standards of evidence for judging research quality is beginning. Mid-point reviews of OERI supported research and development centers have been completed. In general, reviewers found the activities of the centers to be of high quality.

Limitations of the data. No common standards are used to rate activities so inter-rater reliability is unknown.
Verification/validation of measures. OERI will develop a process to validate the results of the new system described below.
Data Source. Using the new standards of evidence, OERI will work with representative professional organizations of education researchers to develop a new system to evaluate the technical soundness of the work it supports. Collected throughout the year and reported annually beginning in fall, 1999.

Indicator 84. OERI supported research and products are useful to policy makers and practitioners.

Indicator background and context. A 1997 NCES Customer Survey found that 86 percent of customers believed that NCES products were useful; 80 percent of consumers of regional laboratory products found them to be useful.

Limitations of the data. Customer surveys are a valid of method of determining utility of OERI products.
Verification/validation of the data. OERI will develop a process to validate the results of the procedures described below.
Data sources. OERI will convene a panel of practitioners and policy makers to assess the usefulness of studies and products developed by the R&D centers, fall 1999. NCES will periodically conduct surveys of customer satisfaction. Usefulness of regional laboratory products and services will be assessed through an independent evaluation. Results will be available in fall 1999.

Objective 4.4: Our information technology investments are sound and used to improve impact and efficiency.

Context: The Department must be committed to carrying out the mandates of the Information Technology Management Reform Act of 1996 (Clinger-Cohen Act). The Clinger-Cohen Act requires the Department to significantly improve the acquisition and management of information technology in order to advance mission performance and service delivery. The Department is also addressing the need for all major information systems to become Year 2000 compliant, mission-justification of major information system investments, network and web support and the reduction of paperwork burden.

External factors:

- Year 2000 efforts will be ongoing as the industry discovers new compliance issues.
- ED requires additional training in the management of a complex network and personal computer infrastructure and in financial analysis.
- Highly trained technical and information technology management professionals command higher salaries in the private sector than the federal government can offer; thus they are difficult to recruit. The Chief Information Officers Council (CIO) is weighing a separate pay scale for government information technology employees.
- ED, like all federal agencies, awaits a final policy on electronic records management from the National Archives and Records Administration. The policy may affect resources devoted to expanding Internet service offerings.

Key strategies

- **Year 2000 compliance.**
  - To continue to implement a major Department effort to become Year 2000 data compliant--to ensure that ED's data users and customers are not affected by data corruption resulting from hardware, software, and devices with embedded technology that cannot correctly process date-related information.
  - The Department is pursuing extensive contingency planning and end-to-end testing (the testing of data exchanges between Department systems and external trading partners). Detailed contingency and risk mitigation plans for all core business processes are expected to be completed by March 31, 1999
  - The Department received $11.996 million in FY 1999 to ensure that all 175-computer systems are Year 2000 compliant by March 1999.
- **Use information technology to increase the efficiency and effectiveness of ED's operations**.
  - To ensure that the Department has a cost-effective, efficient, accessible, and reliable network infrastructure by continuing to implement a Product Support Plan (PSP) that provides guidance of standard hardware and software products supported by ED.
  - To continue to provide a reliable and secure Internet service by implementing ED's redesigned Web site, which incorporates interactive forms, new products and technologies, and additional customer feedback opportunities.
  - The request includes $26.3 million to maintain automated data processing systems, including network operations, and provide the latest technology to increase productivity and to provide better customer service.
  - In response to a challenge from the Deputy Secretary, ED is embarking on a strategy to transform itself into a high-performance service and learning organization. This strategy proposes using technology to reengineer business process and customer service. The Internet Working Group (IWG) devised the strategy and will take the lead in implementing.
  - As a part of this strategy, ED will expand its Intranet to bring workflow and information dissemination tools to all ED employees.

- The Chief Information Officers Council has worked in partnership with Training and Development Center to create the Learning Network, which provides computer and policy training at the desktop of all ED employees in headquarters and in the regions.
- The Chief Information Officers Council and Training and Development Center together will examine employee core competencies in technology. The results of the project will allow for better targeting for training. The project should be completed within the next 12 months.
- The Internet Working Group began a redesign of the Web site in September 1998. The focus of the effort is to improve our ability to answer customer questions.
- OVAE is participating in the Virtual Office pilot.

Selected Accomplishments

Addressed Y2K compliance in ED and in schools.

Major progress realized in Y2K compliance

- 13 out of 14 mission critical systems compliant, validated and implemented as of February 18, 1999. The remaining mission-critical system will be completed by March 15, 1999.
- 99 percent of non-mission critical systems are Y2K compliant. The one non-compliant non-mission critical system will be completed by March 31, 1999.
- Broad outreach campaign to assist education community in achieving Y2K compliance including end-to-end testing (the testing of data exchanges between Department systems and external trading partners).

Improved Technology Infrastructure.

- Stabilized network services by conversion to common platform, reduction in number of servers, and other configuration management efforts.
- Developed and disseminated IT Architecture Framework, providing guiding principles for IT investment, management and decisions, Volume I
- Strengthened IT internal review board and related technology management processes to broaden participation in technology planning and use across the Department.
- Established connectED, which is the Department's Intranet.

Expanded Internet Presence.

- Built ED.GOV and related Web sites to reach large numbers of customers with high quality and timely information.
- Distributed ED initiatives and other electronic communications to over 13 thousand people in schools, state and local governments, and others in the education community.
- Increased integration of the Internet in grants management processes such as application distribution, acceptance and peer review.

- **Cost-effective major systems that deliver for ED and its customers.**
  - To assess current and proposed major information systems, such as student financial systems and financial systems as described in objectives 3.3 and 4.6, by continuing the Information Technology Investment Review Board's systematic and careful review of the acquisition and implementation of information technology.
  - To implement a capital planning and investment control process as required by the Clinger-Cohen Act.

- **Data collection.**
  - To continue to improve data collection by increasing ED's use of information technology tools to help us better manage the Department's data collections. This will reduce paperwork burden to the public.
  - To increase the percentage of data collections allowing electronic responses, with the goal of allowing all data collections to be electronic.

- **Legislative or regulatory.**
  - The Department is committed to addressing accessibility and reasonable accommodation requirements under the Rehabilitation Act of 1973.

S & E resources supporting this objective

- The Department received $11.996 million in FY 1999 to ensure that all 175-computer systems are Year 2000 compliant by March 1999.
- Information Technology Architecture Development -$100,000 budgeted for FY 2000.
- Data Coordination Committee - $750,000 budgeted for FY 2000.

Other S&E resources supporting this objective for FY 2000:

- **Organizational units with a significant role in accomplishing this objective.**
  - OCF&CIO's Information Technology Investment and Capital Planning Group.
  - The Information Technology Investment Review Board (ITIRB) advises the Secretary of Education on the Information Technology (IT) investments to be funded. The ITIRB is also charged with the responsibility to review progress of ongoing IT initiatives and to evaluate performance and outcomes.
  - The Department also created an Information Technology Architecture Working Group, which is responsible for overseeing development of the ITA.
- **Special staff training**
  - In order to successfully implement the IT Investment Management Process, IT project managers will be trained in financial analysis and a performance-based project management system, such as earned-value project management. Training will be an important resource to fully develop these skills.
  - The Department developed an implementation plan for compliance with the Clinger Cohen Act which includes: the development of information technology competencies for IT professionals, executives and managers; the assessment of skills against the competencies; and training to build skills. Needed knowledge has been identified and training begun for the Department's Information Technology and Information Resources Board (ITIRB).

Performance indicators and charts

Indicator 85. All major information systems needing repair will be converted to Year 2000 compliance by March 1999 (giving time for testing during 1999).

Indicator background and context. Each federal agency is required by the Office of Management and Budget (OMB) to ensure that its information systems are fully compliant by March 31, 1999. OMB and GAO have provided guidance to assist agencies in planning, managing, and evaluating their Year 2000 programs through a four phased process: assessment, renovation, validation, and implementation.

The Department has established a Year 2000 project team, designated coordinators in each office, developed capacity for technical solutions, and hired KPMG and Booz-Allen and Hamilton as management consultant contractors. The chart below illustrates the Department's mission-critical systems and their progress to date. The Department identified 14 mission-critical systems. As of February 12, all but one is fixed and implemented. The last one will be fully implemented by March 15.

Non-critical systems—161 in all—are also undergoing the same four phases: assessment, renovation, validation and implementation (see Figure 86). As of February 18, 1999, all but one of the 161 non-critical systems had completed the four-phase process. The final system will be completed by March 1999.

In addition, the Department is pursuing extensive contingency planning and end-to-end testing (the testing of data exchanges between Department systems and external trading partners). Detailed contingency and risk mitigation plans for all core business processes are expected to be completed by March 31, 1999. Most data exchange testing with other Federal agencies will also be completed by the end of March, while data exchange testing with postsecondary institutions and other external trading partners will extend into the summer.

Figure 85

Status of U.S. Department of Education Year 2000 Conversions for Mission-Critical Systems, as of February 12, 1999
(Shading = Completed)

		Y2K Phases				
#	Mission Critical System	Assessment	Renovate	Validate	Implement (target date)	Status
Student Financial Aid Systems						
1	Central Processing System (CPS)	▨	▨	▨	▨	Completed
2	Direct Loan Central Database	▨	▨	▨	▨	Completed
3	Direct Loan Origination System	▨	▨	▨	▨	Completed
4	Direct Loan Servicing System	▨	▨	▨	▨	Completed
5	Postsecondary Education Participants System (PEPS)	▨	▨	▨	▨	Completed
6	Multiple Data Entry System (MDE)	▨	▨	▨	▨	Completed
7	Title IV Wide Area Network (TIVWAN)	▨	▨	▨	▨	Completed
8	Campus-Based System (CBS)	▨	▨	▨	▨	Completed
9	Federal Family Education Loan Program System (FFEL)	▨	▨	▨	3/99	
10	Pell Recipients and Financial Mgmt System (PELL)	▨	▨	▨	▨	Completed
11	National Student Loan Data System (NSLDS)	▨	▨	▨	▨	Completed
Other Program Systems						
12	Impact Aid Payment System	▨	▨	▨	▨	Completed
ED Administrative Systems						
13	ED Central Automated Processing System (EDCAPS)	▨	▨	▨	▨	Completed
14	Education's Local Area Network (EDLAN)	▨	▨	▨	▨	Completed

Limitations of the data. Until the revised systems are active in a live environment, with data exchanges from external customers, Y2K compliance cannot be established with certainty.
Verification/Validation of measures. All mission-critical systems are independently verified and validated by a third-party contractor.
Data source(s). Monthly and Quarterly Progress Reports to OMB, based on ED's inventory of systems, Y2K assessments, and subsequent monitoring of the renovation, validation, and implementation phases.

Indicator 86. At least 90 percent of all employees will assess productivity as "significantly improved" as a result of available technology, as shown by the employee survey in 2000.

Indicator background and context. According to the 1996 employee survey, 70.2 percent of ED employees mostly or strongly agree that their productivity has improved as a result of available technology

Limitations of the data. New data supporting this indicator will not be available until the year 2000. The CIO hopes to increase that level of agreement to 90 percent by the year 2000.
Verification/validation of measures. Success in these functions will be assessed by customer satisfaction surveys now being developed and possibly by other indirect means. As a result, interim data may be available before information from the Employee Survey 2000 becomes available.

Data source(s). Employee Survey 2000, Customer Satisfaction Surveys, and other data gathering methods as decided.

Indicator 87. All Information Technology Investment Board assessments will show that major information systems are mission-driven, cost-effective, and consistent with our information technology architecture, and supported by performance-based contracts.

Indicator background and context: All Information Technology Investment Review Board (ITIRB) assessments will show that major information systems are mission driven, cost-effective, consistent with our information technology architecture, and supported by performance-based contracts. In order to use this indicator, a baseline of cost, schedule, and performance goals for each of our major IT projects will be created. At specific intervals thereafter--e.g., six months or one year--the Department will measure actual project results against the project estimates for each major project to calculate variances of cost, schedule, and performance. The Department's goal is that 80 percent of our major IT projects will be within a 10 percent variance of their cost, schedule, and performance goals by FY 2001.

IT Projects within a 10 Percent Variance of Cost, Schedule, and Performance Goals

- The Information Technology Investment Review Board (ITIRB) is initiating the systematic consideration of all proposed IT projects for funding decisions. In spring 1999, the ITIRB will begin the IT Investment management process, e.g., selection, control, and evaluation, for all major IT projects proposed within the Department for the 2001 budget.
- The ITIRB has made decisions on the following issues:
    - Y2K centralized PC replacement, allowing lease or purchase option;
    - Long-term electronic mail solution (Microsoft Exchange);
    - Use of Lotus Notes as an application development tool;
    - Selection of standard office suite software (Microsoft Office);
    - Central management of Web servers; and
    - Adoption of the Product Support Plan, which introduced product standardization.
- Completed the *Enterprise Information Technology Architecture, The Architecture Framework, Volume I*, in September. The document is published on connectED, and the ITIRB has been briefed on the architecture process.
- Developed the *IT Architecture Principles Guidance*, which provides development and management instructions for IT project sponsors.
- Developed ITIRB core competencies and began training to the competencies.
- Completed *Exhibit 42 Data on Information Technology* for budget submission. This Exhibit classifies Department IT project spending in three categories: mission area, infrastructure and office automation, and IT architecture and planning. The exhibit indicates, by category subtotals, the percentage of IT projects under development, or in modernization, and the funding sources for IT projects.

Note: The 10 percent variance is based on OMB guidance for implementation of the Clinger-Cohen Act, which states that IT projects should be within a 10 percent variance of expected goals.

Limitations of data. Calculating the performance variances may prove difficult. The level of difficulty and the utility of using this measure will not be known with certainty until we initiate its use. Calculating the other variances should be uncomplicated

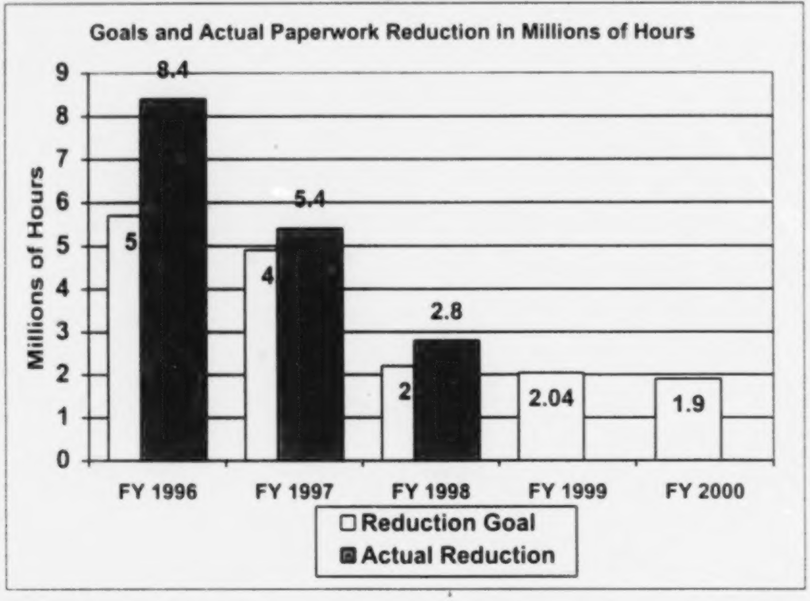
Verification / validation of measures. Data will be obtained for each of the Department's major IT projects. The data will forecast the project's cost, schedule, and performance goals. The data will constitute the baseline or reference point for the IT project. At a specified time interval or milestone--

e.g., six months later--the project's progress, (e.g., cost-to-date, schedule-to-date, and performance-to-date) will be measured. Variances will be determined by comparing the actual results against the forecast or baseline. By tracking variances to determine project progress for all of our major IT projects and considering the project data available at the time the ITIRB made funding decisions, the Department can assess the performance of the ITIRB and the validity of our measures.
Data source(s). The data will come from each IT project sponsor and will be validated by a review of the Principal Office ADP budget.

Indicator 88. Data reporting burden on public will be reduced annually.

Indicator background and context. The Paperwork Reduction Act of 1995 (PRA) set a 10 percent reduction goal for FY 1996 and FY 1997, and 5 percent for FY 1998 through FY 2001, for federal agencies to reduce the burden of information collections on the public. Since the PRA was enacted, the Department has exceeded its goals (see Figure 87). The Department reduced data-reporting burden by 8.4 million hours (14.7%) in FY 1996, and 5.4 million hours (11%) in FY 1997. As of September 1998, the Department has reduced its burden by 2.8 million hours (6.5%) surpassing the FY 1998 goal. These significant burden reductions can primarily be attributed to the Department's increased use of information technology, successful regulatory reinvention efforts, and numerous programs reinventing and streamlining their information collection efforts.

Figure 86



Limitations of the data. Burden hours are estimated for all information collections. Based on experience, estimated burden hours tend to be more accurate for older collections, which are renewed on numerous occasions. Burden hour estimates for newer collections are probably less accurate. However, all information collections are subject to the Information Management Group (IMG), OMB, and public reviews, and all comments made must be addressed by law.
Verification/validation of measures. Paperwork burden hours for Departmental information collections are verified/validated on a continuous basis by the Information Management Group (IMG). IMG is responsible for reviewing and approving information collection packages submitted by Principal Offices for OMB clearance. In addition, the Department's collection burden hours are verified against the Department's Information Collection Inventory, issued monthly by the Office of Management and Budget, Office of Information and Regulatory Affairs.
Data source(s). *Information Collection Budget of the United States Government, Fiscal Year 1998,* issued by the Office of Management and Budget, Office of Information and Regulatory Affairs (OMB/OIRA), July 20, 1998; Monthly Information Collection Inventory issued by OMB/OIRA, as of July 31, 1998; Information Collection Clearance Packages submitted by Principal Offices.

Objective 4.5: The Department's employees are highly skilled and high-performing.

Context: To effectively lead educational reform, the Department must provide its workforce with critical skills and tools, as well as a quality workplace. GAO reports have highlighted the need for the Department to develop strategic management systems, including those for human resources. Recent employee surveys have identified the need for quality, cost-effective learning opportunities, especially for current and prospective managers, and improving the quality of the work environment. To ensure the continuous development and high performance of all Department employees, planned activities through 2000 and beyond will build upon recent innovations, such as the automated, multi-rater ("360") performance appraisal system and an online, computer-based learning network.

External factors: The implementation of new technology in the workplace will profoundly impact the Department's ability to meet changing work requirements, serve its customers efficiently and effectively, and increase accountability for results. The Department's plan incorporates innovative uses of technology to support employee development.

Key strategies

- **High staff and organizational performance.**
    - Provide professional development opportunities to ED managers and employees to improve performance. Examples of opportunities include mobility assignments, mentoring, executive coaching, programs in project management, technology, and leadership and management development.
    - Provide intact teams of managers with training to improve skills in managing a diverse workforce, dealing effectively with work performance issues, and setting and achieving strategic goals.
    - Provide employees with training identified as high priority for work critical to the Department's mission: using technology, project management, and analysis.
    - Provide managers and employees, both in headquarters and regional offices, with a wide range of developmental opportunities, including work-site, work-related courses for college credit; access to "best in business" developmental programs sponsored by the Office of Personnel Management, Federal Executive Institute and other providers; and career development and career planning services available through the Department's Training and Development Center.
    - Encourage employees to participate in the mobility assignment program, mentoring, upward mobility, and other developmental opportunities, including training in communication skills and interpersonal relations.
    - Effectively use technology investments, including the Department's automated, multi-rater ("360") performance appraisal system and linked individualized development planning system, the Learning Network, and distance learning technologies to ensure employee professional development and high performance.
    - Implement recommendations from 1998 benchmarking of Department's training and development services.
    - Ensure that organizations are prepared to meet tomorrow's workforce, program, and management challenges through strategic workforce and/or succession planning.

- **A healthy, safe, secure and accessible workplace for all employees.**
    - Ensure employees who move to newly renovated headquarters and regional facilities are satisfied with workplace services, including those related to the actual moves.
    - Ensure measures of workplace quality, including air and water quality, are consistently high, as are measures of satisfaction with the responsiveness of services requested through the Department's customer service center.
    - Ensure that the Department's programs and activities are accessible to employees and customers with disabilities.

- **A fair, efficient, responsive, and productive environment for all employees.**
  - Assess whether the recently opened Informal Dispute Resolution Center (IDRC) and related efforts have been successful in helping employees and managers to avoid and/or promptly resolve EEO complaints or other matters of dispute.
  - Encourage resolution of formal complaints at the earliest stage possible by rendering final agency decisions in-house and thereby minimizing the caseload at EEOC.
  - Develop and implement a proactive organization performance review process to enhance organization productivity.
  - Expand work/life programs and services to ensure a family friendly work environment for headquarters and regional employees.

- **An appreciation for diversity.**
  - Continue the dialogue about race relations started in 1998 under the President's Initiative on Race and implement ideas generated during these discussions. Sponsor cultural awareness activities, including employee discussion groups, cultural fairs and speaker series to enable employees to exchange information and perceptions about race relations and means to improve them.

Selected Accomplishments

Initiated an ongoing Department-wide dialogue on race relations.

- Under the President's Race Initiative, the Department convened listening and dialogue sessions for headquarters and regional employees to discuss race-related concerns. To date, components of the Department have established staff meetings, suggestion boxes, and surveys, to improve overall communications and teamwork in the agency. These efforts will continue, and will lead to longer-term recommendation, to improve working relations in the Department.

Put *The Learning Network* on-line.

- The Learning Network, (TLN) allows employees to access needed training from their desktops. Over 10,000 "visits" have been made to TLN, where self-paced, on-line courses are available to enable employees to improve skills using computer software .

Established an Informal Dispute Resolution (IDR) Center.

- In October 1997, the Department's one-stop shop for information about and assistance with employee concerns became fully operational. Headquarters employees can call or visit the Center to obtain information, counseling or mediation services related to matters of concern to them. In FY 1998 there were 164 cases handled.

Consolidation of work-life programs.

- The Department established the Work/Life Programs Group to provide a focal point for researching, developing and implementing initiatives designed to help improve the quality of the work-lives of the Department's employees. The Group includes programs to provide flexible workplace arrangements, a child care center and transit subsidies, to ensure the workplace health and safety of employees.

Improved physical security.

- In June 1998, the Department elevated its building security to a level 5 status in all of its occupied buildings. As a result, additional security guards were hired, post orders were revised, and new security devices were installed.

Renovated headquarters facilities.

- In October 1998, the Department moved approximately 1300 of its headquarters employees into renovated quarters, providing them with modular, well-lighted, technology-friendly workspaces. The new facility is designed to maximize employee productivity and improve the quality of worklife for Department employees. During 2000, the Department plans to complete its work on "special services" areas, which include a cafeteria, resource library, and a modest fitness center.

BEST COPY AVAILABLE

Coordination with other federal agencies

- The Department coordinates building services through the General Services Administration (GSA) and some human resource staffing and administrative change services through Office of Personnel Management. The Department has also developed a relationship with the National Academy of Public Administration as members of the Human Resources and Performance Consortia for improving overall performance.

Performance indicators and charts

The following indicators were selected to measure progress with regard to improving the quality and productivity of the Department's workforce and workplace. Taken together, these indicators represent the foundation of a strategic management system that will help the Department carry out its leadership role in improving education in America.

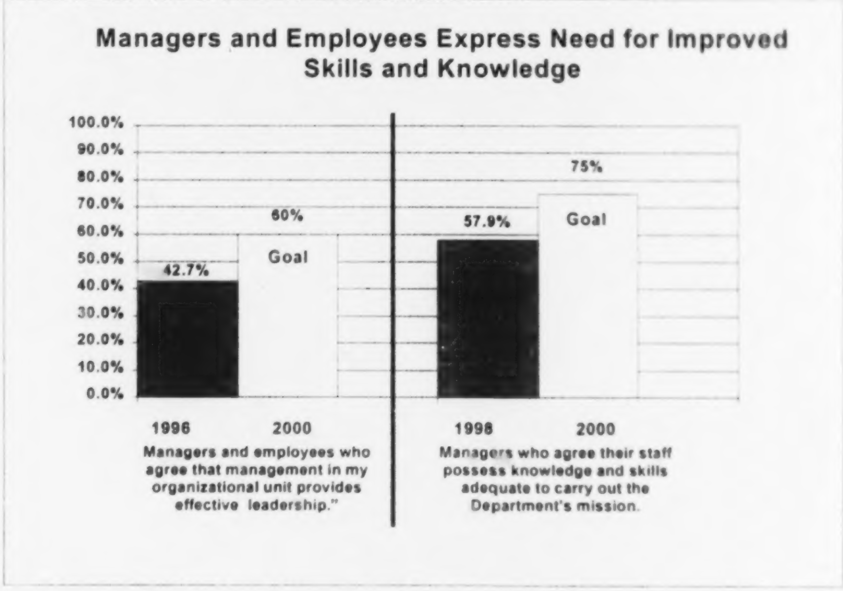
Indicator 89. By 2000, 75% of survey respondents will agree that manager and employee knowledge and skills are adequate to carry out the Department's mission.

Indicator background and context. Survey and focus group data and information from the GAO indicates that agency managers lack confidence, staff knowledge and skills to adequately manage employee performance and large systems. Training and developing current and future managers in the Department will remain a high priority through 2000 and beyond.

One example highlighted by the Employee Survey is that the ability to lead effectively remains a concern of employees. The 1996 Employee Survey indicated 42.7% agree that management provides effective leadership in their organizational unit. An April 1998 survey of ED managers revealed that only 58% of ED managers agree that staff possesses knowledge and skills adequate to carry out ED's mission. Additionally, the 1998 National Partnership for Reinventing Government (NPRG) Survey reported similar results with approximately 53% of Education employees agreeing that they receive the training they need to perform their jobs.

Following implementation of the strategies outlined above, an extensive employee survey effort is planned for 2000, including external customer input, and to assess overall progress in meeting performance targets related to improving employee satisfaction with training opportunities and readiness to perform the work of the Department.

Figure 87



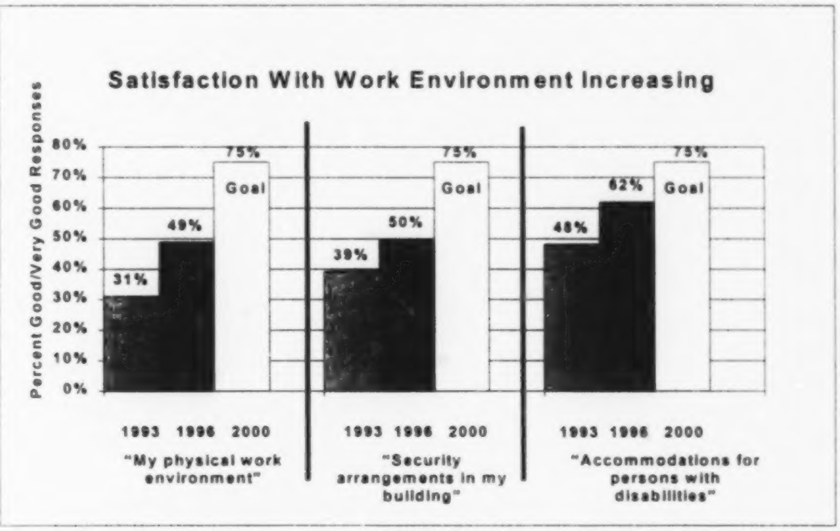
Limitations of the data. The major data source to measure employee satisfaction levels will not be available until the 2000 Employee Survey. Training and Development Center (TDC) staff conducted the April 1998 survey of managers and manually tabulated the results.
Verification/validation of measures. Independent contractors will administer official Department employee surveys and conduct evaluations. Just-in-time surveys and focus groups are conducted in-house by the responsible organization to track intermediate progress. In addition, other relevant administrative records and information system reports will be used to determine the quality of employee responses and services to customers.
Data source(s). 1993 & 1996 Employee Surveys, April 1998 TDC Survey of Managers, 1998 National Partnership for Reinventing Government Survey

Indicator 90. By 2000, most employees will indicate satisfaction with their work environment (e.g. physical surroundings, noise level, air quality), security and accessibility.

Indicator background and context. The work environment is a critical contributing element to agency and employee performance. From 1993 to 1996 there was a 14% average increase in employee satisfaction levels in the areas of physical environment, building security and accommodations for persons with disabilities (see Figure 88). The Department is committed to improving its work environment by relocating employees to more modernized and newly renovated workspaces. The 1996 Government-wide Organizational Assessment Survey (OAS) (administered by the Office of Personnel Management (OPM)) highlighted a 60% satisfaction rating with the physical work conditions of Department workspace. *(Note: Upon review of OPM government-wide customer satisfaction data, the performance goal for this indicator has been revised from data reported in the FY 1999 Annual Plan.)*

As a result of recent threats of international terrorism, the Department has increased the scope and breadth of building security for all employees. In addition, efforts are being made to provide employees with disabilities the same access to services, information and products as other employees. These efforts should significantly contribute to achieving our 75% employee satisfaction target with the work environment by FY 2000.

Figure 88



Limitations of the data. The major data source to measure employee satisfaction levels will not be available until the 2000 Employee Survey. ED is working on developing additional indicators such as measures of air and water quality and using customer help desk reports to track work environment quality improvements

Verification/validation of measures. Independent contractors will administer official Department employee surveys and conduct evaluations. Just-in-time surveys and focus groups are conducted in-house by the responsible organization to track intermediate progress. In addition, other relevant administrative records and information system reports will be used to determine the quality of employee responses and services to customers.

Data source(s). 1993 and 1996 Employee Survey, 1996 OPM Organizational Assessment Survey, and Customer Service Center Help Desk data

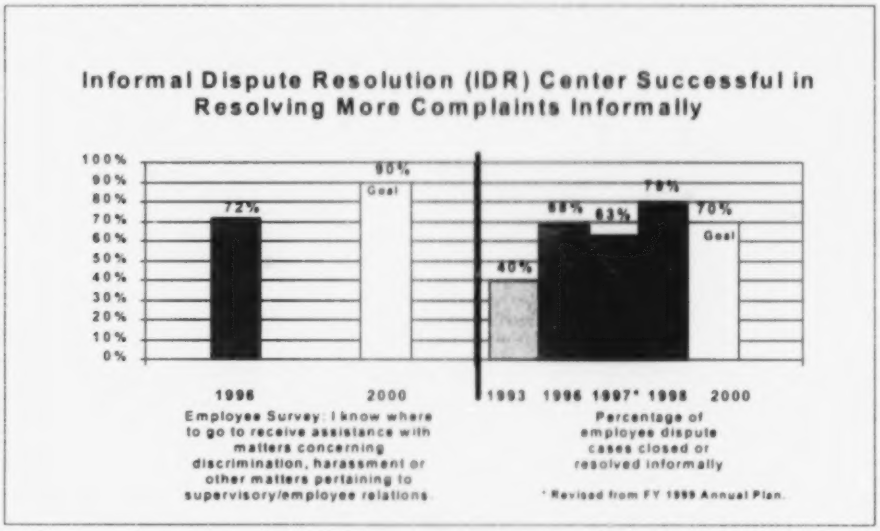
Indicator 91. By 2000, most employees and managers will express high satisfaction with assistance on resolving disputes, balancing work and life responsibilities and addressing organizational and employee problems

Indicator background and context. This indicator seeks to measure the Department's expanded view of improving the quality and productivity of its work environment. With regard to dispute resolution, the 1996 Employee Survey indicated 72% of employees know where to go receive assistance in resolving disputes (see Figure 89). The opening of the Informal Dispute Resolution Center (IDRC) and reengineering of the EEO office has improved service delivery for customers and the percentage of disputes resolved informally has increased significantly from 63% in 1997 to 79% in 1998.

The Department's Work/Life Program is designed to provide ED employees with a range of options to be more productive in their work, family and personal lives. Currently, this program provides options including alternative work schedules, voluntary leave transfers, volunteer initiatives, flexiplace, childcare, Parenting at the Workplace Program, and the Employee Assistance Program. An October 1997 assessment of flexiplace employees by an independent contractor reported numerous qualitative benefits including increased morale, work performance and productivity.

The 1996 Employee Survey indicated the need for performance management improvements: only 37% of employees agreed that high performing employees receive deserved recognition and only 8% agreed that poor performing employees were dealt with effectively. The Department is employing a new strategy for addressing systemic management or organizational problems in its principal offices. Beginning in FY 1999, the Department will provide technical assistance for internal customers on resolving performance issues, executive coaching and action planning. This will position the Department to be more proactive in detecting and preventing management and organizational problems that could adversely affect service delivery.

Figure 89



BEST COPY AVAILABLE

Limitations of the data. The major data source to measure employee satisfaction levels will not be available until the 2000 Employee Survey. The 2000 Employee Survey will be revised to collect data on employee perceptions about work-life programs.

Verification/validation of measures. Independent contractors will administer official Department employee surveys and conduct evaluations. Just-in-time surveys and focus groups are conducted in-house by the responsible organization to track intermediate progress. In addition, other relevant administrative records and information system reports will be used to determine the quality of employee responses and services to customers.

Data source(s). 1996 Employee Survey, EEOC 462 Reports, IDRC Reports, Family Friendly – AWS and Flexiplace Assessment October 30, 1997.

Objective 4.6: Management of our programs and services ensures financial integrity.

Context. Ensuring financial integrity of ED's programs and services is achieved through compliance with financial regulations while focusing on results, service quality, and customer satisfaction. To achieve this objective and ensure financial integrity, the Office of the Chief Financial and Chief Information Officer is implementing the following systems and policies: a core financial management system, the Education Centralized Automated Processing System (EDCAPS); financial policies and procedures designed to enhance internal controls, reconciliation and reporting processes; and improvements to the agency's acquisition system to support mission critical departmental and program office objectives.

External factors. Any improvements the Department makes in the performance of its contract resources requires equal commitment from its business partners and agreement on meaningful performance objectives and measures.

Key strategies

- **Provide accurate and timely financial data.**
    - Provide timely and reliable financial information for program and support offices to use in managing their responsibilities. During fiscal year 1999, the OCFO will reconcile all general ledger accounts on a monthly basis and use EDCAPS to provide this data to users on a daily basis.
    - Continue to provide training of staff in core financial management competencies.
    - Reconcile all recipient accounts in EDCAPS and provide recipients with accurate data.

- **Increase financial integrity.**
    - Continue to obtain a clean audit opinion.
    - Eliminate material weaknesses, reportable conditions, and material non-conformances by correcting systemic problems and implementing polices and procedures.

- **Implement performance-based contracting.**
    - Each contract should be stated in terms of results that support ED's Strategic Plan.
    - Control costs by implementing performance-based contracting and by repatriating work contracted out when effective and possible within staff ceilings.
    - Review every contract for the maximum use of effective performance objectives and measures to assess the value provided in order to determine extent to which the goods and services the Department is receiving represent better than successful performance.
    - Continue to provide training to all ED procurement and technical personnel in their capability to productively manage the performance of contractors.

- **Increase staff skills.**
    - Provide training and incentives for both financial and program staffs to acquire core financial management competencies.

- **Minimize regulations.**
    - The Department will continue to minimize the need for specific agency acquisition rules and regulations; in like manner, the Department will work with the Office of Federal Procurement Policy to maximize the effectiveness of procurement reform.

S & E resources supporting this objective

- **Organizational units with a significant role in accomplishing this objective.**
  - Every principal office which acquires goods and services from the private sector to fulfill its responsibilities and the Department's Contracts and Purchasing Operations office, which is responsible for the overall agency acquisition, system performance, and oversight.

- **Special staff training**
  - All ED personnel performing a significant role in the acquisition of goods and services must possess sufficient knowledge of the technical and procurement area in order to specify, manage, and achieve the appropriate results, requirements, and measures both in the process of acquiring and actual performance of the contract requirement.
  - This is accomplished through agency certification programs for procurement professionals and technical staff in their particular disciplines and increased emphasis on project management and achievement of meaningful results.

Selected Accomplishments

Implemented first fully integrated financial management system

- Education fully implemented EDCAPS (Department of Education Central Automated Processing System) in May of 1998. For the first time, The Office of the Chief Financial Officer has a fully integrated financial management system.
- By mid January 1999, Education converted to EDCAPS and reconciled nearly all of its 230 appropriations to ensure that account relationships exist within appropriations, elucidate and correct systematic errors, and provide management with additional financial monitoring on a real-time basis.

Received clean audit opinion for the first time

- For the first time, the Department received a clean opinion on the Department-wide annual financial statements for FY 1997.

Conversion to performance-based contracts

- In fiscal year 1997, ED pledged 66 future recompetitions for conversion to performance based service contract requirements. As of the end of fiscal year 1998, 28 of those conversions have occurred and 15 new requirements have been put in place. The systems life value of these contracts is over a billion dollars.
- Over 250 ED personnel with acquisition responsibilities have received basic training in the principals of performance based service contracting.
- All future contract support for the Student Financial Aid Performance Based Organization will be performance based.
- New capabilities to collect and report contract performance data in EDCAPS is being put into production or is under development.

Coordination with other federal agencies

- **Office of Federal Procurement Policy and the General Services Administration.** The Department will continue to maximize the use of government-wide acquisition system resources and work with the Office of Federal Procurement Policy and the General Services Administration in areas that promote a more single face to industry and benefit from combined resources of multiple agencies such as commodities used across the government and electronic commerce.

Performance indicators and charts

Indicator 92. By 2000 the Education Central Automated Processing System (EDCAPS) will be fully implemented and providing assistant secretaries, the Chief Financial and

BEST COPY AVAILABLE

Chief Information Officer, and program managers with consistent, timely and reliable financial and program information.

Indicator background and context. During fiscal year 1999, the OCFO & OCIO will establish policies and procedures that provide for the monthly reconciliation and reporting of financial data. Using EDCAPS, this data will be available for program and other managers to use in their day to day operations for decision-making and funds control.

Education is completing the EDCAPS conversion and testing to ensure that account relationships exist within the appropriations, determine and correct systemic errors, and give management additional tools to monitor financial activity on a more real-time basis. Estimated completion of the project is January 1999. Comprehensive testing and account reconciliations are currently underway and will be completed in the 2nd quarter of FY 1999. These efforts will ensure that the performance indicator will be monitored and met.

Limitations of the data. ED will be unable to assess the reliability of the data until the system is in place, and reconciliation is complete.

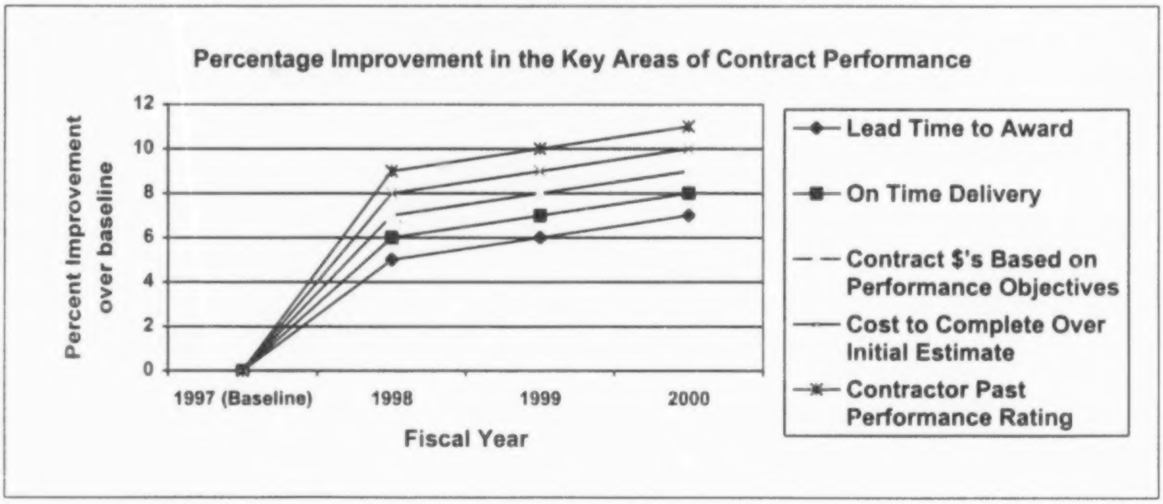
Verification/validation of measures. Annual audits for FY 1998 and FY 1999 as well as customer feedback.

Data source(s). Program data provided by all program offices and program recipients then processed by OCFO. Administrative data provided by all Education offices and processed by OCFO.

Indicator 93. Evaluation of contracts will indicate that better than fully successful performance, including quality, cost control, timeliness, and other factors, is being received by the government and the taxpayer.

Indicator background and context. A contract's terms and conditions are a representation of how the government's particular needs are to be fulfilled and the basis by which performance will be measured and compensated. There are numerous indicators that provide analytical data to determine the value of the work that is done for the agency. The value is determined by a variety of factors, but there are a few factors that universally are key: (1) timeliness in the award of a contract; (2) continual efforts at cost containment and reduction; and (3) the best quality solution and performance. These factors taken collectively for all contracts provide a basis for how well the resources the agency acquires from the private sector perform overall.

Figure 90



Limitations of the data.. Several contracts are long term and were put in place prior to the measurement period and lack performance measures.
Verification/validation of measures. Administrative reports prepared by ED staff independently evaluated by random sampling and review
Data source(s). U.S. Department of Education Contract Data. Next update: annually.

Indicator 94. Auditors will issue a clean opinion on the Department-wide annual financial statements every year.

Indicator background and context. By fiscal year 2000 there will be a significant reduction in the number of material weaknesses and reportable conditions identified in the auditor's reports. This reduction will provide the Department with the ability to continue to obtain a clean opinion on its financial statements. To achieve the reduction in material weaknesses and reportable conditions, financial management systems and internal controls will indicate improved financial management.

Audit Milestones

Baseline	
Number of material weaknesses as of September 1997:	4
Number of reportable conditions as of September 1997:	3
Goal	
Number of material weaknesses as of September 1999:	2
Number of reportable conditions as of September 1999:	5
Number of material weaknesses as of September 2000:	0
Number of reportable conditions as of September 2000:	2

Limitations of the data. None.
Verification/validation of measures. The indicator of a "clean audit opinion" will be obtained from an independent audit, as required by statute. The Inspector General participates in the conduct of the audit and the reporting/tracking of material weaknesses. Administrative reports prepared by project monitors on contractor performance will be externally evaluated by random sampling and external review of contracts.
Data source(s). Annual Auditor's reports. Next Audit expected August 1999.

Objective 4.7: All levels of the agency are fully performance-driven.

Context. ED has established a functional strategic planning system for the agency, has moved to integrate its employee performance rating and reward system with the accomplishment of strategic goals, and is improving the quality and availability of data for its performance indicators. These activities will remain key strategies for FY 2000.

External factors. Developing the tools for managing based on performance is a difficult challenge for federal agencies such as the Department of Education (ED), which depend on actions by many education partners to achieve key goals. Leadership, including the development of appropriate goals and performance indicators, and use of advanced technology are two key ways we are attempting to ground the agency's ability to use performance data.

Key strategies

- **Sound implementation of the Strategic Plan**
  The Department will:
  - Develop a new electronic reporting system to track progress on performance indicators and strategies and simplify reporting of progress
  - Align performance appraisals and rewards for assistant secretaries, senior managers, and employees with Strategic plan objectives, including reviewing appraisals on a sample basis.
  - Develop a specific action plan to recognize performance improvements and strengthen areas needing assistance including through monetary awards and recognition programs.
  - Implement an effective communication strategy, including through the Department's Intranet, to communicate plan priorities and to work collaboratively to identify challenges and improvement strategies.
  - Conduct an independent evaluation of the usefulness of the Strategic Plan for decision making and continuous improvement, through employee and manager surveys, benchmarking with federal and state agencies and relevant business practices.

- **Strong budget support for planning and performance measurement.** The structure of ED's FY 2000 budget request reflects the Strategic Plan and includes funding for evaluations, performance measurement, statistics, and assessments needed to comply with the Results Act. Salary and Expense resources are distributed among the "management" objectives, showing where we are placing priorities for use of resources. In FY 2000, the Department will continue to:
  - Link performance reporting budget and strategic objectives.
  - Align resource allocations with agency priorities and performance, including support in the budget for evaluations, performance measurement, statistics and assessments.
  - Conduct an assessment of training needs to implement performance measurement and align training resources to support development of skills needed by Department employees for implementation of performance measurement.

- **Ensuring assessment of the quality of data systems.** The quality of a performance measurement process is no better than the quality of the data collected. By FY 2000 all managers will have attested to the quality of their performance data or have concrete improvement plans in place and being implemented. During FY 2000, ED will:
  - Implement data quality standards for the Department's largest programs that account for 90 percent of ED's budget.
  - Monitor program managers' improvement plans for key performance data systems.
  - Update guidance for ED managers on developing and monitoring quality data systems and the use of data to manage program performance.
  - Working with the Office of Inspector General, use program evaluations and IG reviews to assess the quality of information systems that are critical for obtaining the data needed to meet the

Results Act. Specific priorities are to evaluate data quality for State-grant programs and student aid data systems.

Selected Accomplishments

Strengthened ED's Annual Plan

Substantially increased the number of annual plan objectives and programs with baseline measures from initial FY1999 plan.

- The 2000 plan includes baseline information for most indicators for objectives in the annual plan compared with 44 indicators with baselines in the 1999 plan.
- The 2000 plan includes at least one outcome indicator with baseline data for 59 program plans compared with 38 program plans in the FY1999 plan.

Improved Data Quality

- Developed a draft of data quality standards for all GPRA information in ED's plan (see section on Data Quality).
- Implemented Strategic Plan including regular update meetings with the Deputy Secretary.

Provided support to other agencies

- Served as resource to other Executive agencies on strategies for effective development and implementation of their strategic plan.

Performance Agreements

- Developed first-ever performance agreements with each member of ED's senior staff to hold them accountable for achieving the goals of the strategic plan.

Major programs that have evaluation set-asides supporting this objective or that are authorized to fund evaluations

- Title I Evaluation
- Magnet Schools Program
- Charter Schools Program
- TRIO Program
- Vocational Education National Programs
- IDEA National Activities
- Adult Education National Activities
- Postsecondary education

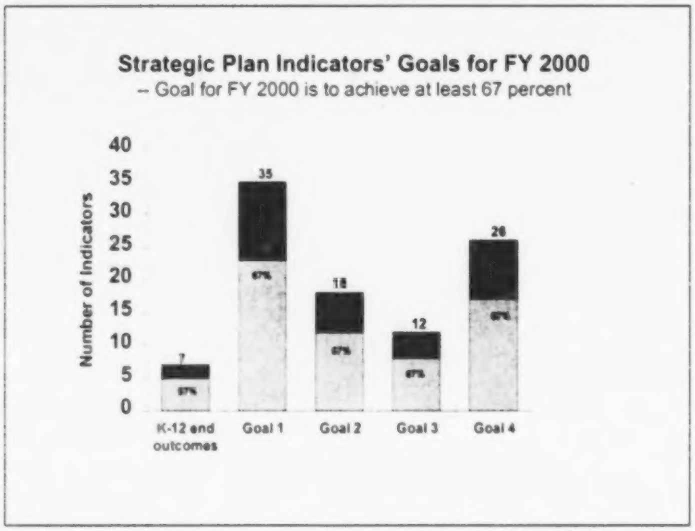
Performance indicators and charts

Performance indicators in Objective 4.7 identify the extent to which sound performance data are effectively used throughout the agency. These indicators address employee understanding of their contribution to ED's goals and objectives, the existence of adequate performance measurement systems, managers' use of performance data for improvement, and evidence that policy, budget and resource allocation decisions are aligned with ED's strategic priorities.

Indicator 95. By the year 2000, ED will have achieved at least two-thirds of its Strategic Plan performance goals and will improve continuously thereafter.

Indicator background and context. ED's Strategic Plan contains a number of performance indicators and goals. Many of these are carried out by state and local education agencies, institutions of higher education, and financial institutions with federal support. While it is unrealistic to expect all target goals to be reached, a substantial number should be reached or assumptions re-examined.

Figure 91



Limitations of the data. Some judgements will have to be made in reporting progress.
Verification/validation of measures. ED will openly report data and results on the achievement of its performance goals to OMB, Congress, and any other interested organizations and individuals. Data will be available for examination by the public as well.
Data source(s). (future) Annual Performance Report, March 2000.

Indicator 96. External customers such as Congress, OMB, or national associations will rate the Department's Strategic and Annual Plans highly for quality and usefulness.

Indicator background and context. Independent, external reviews of key documents and processes are very helpful in developing and managing federal activities such as strategic planning. Criteria may include: relevance, quality, and utility/productivity.

Ratings of ED Plans and Reports

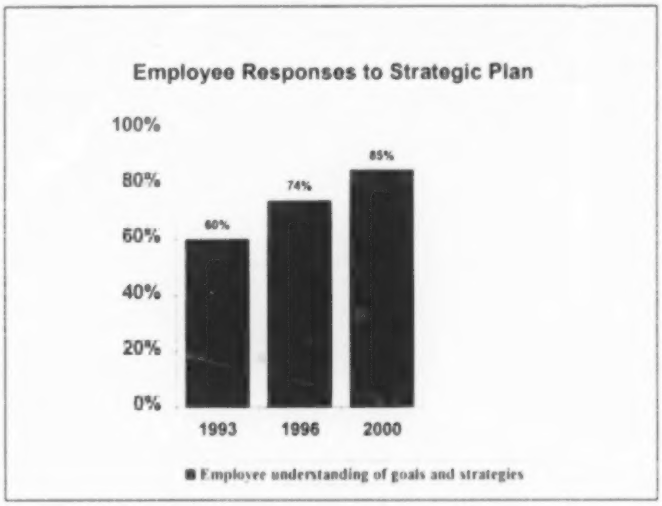
- House staff rated ED's *Strategic Plan 1998-2002* as second highest among federal agencies in terms of overall quality and responsiveness to Results Act requirements.
- House staff rated ED's FY 1999 Annual Plan as third highest among federal agencies.

Limitations of the data. Panel reviews are inherently subjective and benefit from procedures to increase raters' inter-reliability (setting standards and review criteria, training in review process). Nevertheless, while effective use of planning products is probably the best indicator of quality, reviews by users and by experts in planning provide helpful information and guidance.
Verification/validation of measures. ED will openly report data and results on the achievement of its performance goals to OMB, Congress, and any other interested organizations and individuals. Data will be available for examination by the public as well.
Data source(s). (future) Annual Performance Report, March 2000.

Indicator 97. Employees will recognize the Strategic Plan as meaningful and understand how their work supports achieving the Plan's goals and objectives.

Indicator background and context. Critical to agency performance on this objective is the extent to which employees understand, support and actively work toward achieving the agency's goals and objectives. From 1993 to 1996 there was an increase of 15% percentage points in reported employee understanding of how the goals and strategies support the mission of the Department. In part this increase may have been due to the development and release of the Department's first Strategic Plan in 1994. Distribution of ED's 1998-2002 Strategic Plan kicked off implementation efforts that for the four year period from 1996 to 2000 should produce at least a similar increase.

Figure 92



Limitations of the data. Opinion data are subjective and often subject to outside influences. Trend lines are helpful–the more data points, the better.
Verification/validation of measures. Other measures are being undertaken to validate and probe the findings for this indicator, including conducting an interim employee survey that will permit use of more focused questions and confirmation of the trend line.
Data source(s). U.S. Department of Education Employee Survey, 1993, 1996. Next update: 1999.

Indicator 98. By 2000, all ED program managers will assert that the data used for their program's performance measurement are reliable, valid, and timely, or will have plans for improvement.

Indicator background and context. This indicator depends heavily on development of program data system quality standards. It is part of the ED's effort to ensure that the data provided by programs and offices are valid and can be relied on by policy-makers and program administrators.

If problems are identified by managers, they will be required to develop an improvement plan, for review by the Deputy Secretary. Implementation of the plan will be tracked under the Strategic Plan reporting system.

Limitations of the data. Data available when requirement takes effect in year 2000.
Verification/validation of measures. External reviews of the quality of data systems, including those by the Inspector General and evaluation contracts, will verify the managers' assessments. ED Planning and Evaluation staff, Budget Service staff, and other units that use the data as well will also review the attestations.
Data source(s). ED report.

Use of Tax Expenditures

In addition to the many programs that ED administers, tax expenditures targeted for educational benefits also significantly support the objectives of the ED Strategic Plan in 1999. While they are under the jurisdiction of the Department of the Treasury, the postsecondary education tax credits and deductions authorized by the Balanced Budget and Taxpayer Relief Acts of 1997 and the proposed School Modernization Bonds support several Department of Education objectives.

Elementary and secondary schools

This interest-free bond program supports Objective 1.3: *Schools are strong, safe, disciplined, and drug-free.*

- **School Modernization Bonds (for school construction).** States, territories, and school districts—especially those serving large numbers of low-income children—would be eligible for $9.7 billion in 1999 in zero-interest bonds to support the construction and renovation of public school facilities. Since no bonds have yet been issued, tax expenditure estimates have yet to be made by the Treasury Department.

Postsecondary education

All of the following tax credits, deductions, and forgiveness provisions were authorized by the Balanced Budget Act of 1997 or the Taxpayer Relief Act of 1997. All support Objective 3.2: *Postsecondary students receive the financial aid and support services they need to enroll in and complete their educational program.* The Lifelong Leaning tax credit and employer-provided higher education assistance tax deduction also support Objective 3.4: *Adults can strengthen their skills and improve their earning power over their lifetime through lifelong learning.*

Help for postsecondary students

- **HOPE Scholarship.** The "HOPE Scholarship" tax credit helps make the first two years of college or vocational school universally available. These non-refundable tax credits will reimburse families for up to $1,500 for each of the first two years of postsecondary education. An estimated 5.5 million students will receive $4.2 billion in HOPE tax credits in 1999.

  Subject to certain income limitations, students will receive a 100% tax credit for the first $1,000 of tuition and required fees and a 50% credit on the second $1,000. This credit is available for tuition and required fees less grants, scholarships, and other tax-free educational assistance and is available for payments made after December 31, 1997, for college enrollment after that date. A high school senior going into his or her freshman year of college in September 1999, for example, could be eligible for as much as a $1,500 HOPE tax credit.

  The credit can be claimed in two years for students who are in their first two years of college or vocational school and who are enrolled on at least a half-time basis in a degree or certificate program for any portion of the year. The taxpayer can claim a credit for his own tuition expense or for the expenses of his or her spouse or dependent children.

- **Lifetime Learning tax credit.** Lifetime Learning credits will make postsecondary education more affordable for students beyond their first two years of study, as well as for those taking class part-time to upgrade their job skills. Subject to certain income limitations, this tax credit is targeted to adults who want to go back to school, change careers, or take a course or two to upgrade their skills, and to college juniors, seniors, and graduate and professional degree students. It offers a 20 percent non-refundable tax credit for the first $5,000 of tuition and fees each year through 2002 and a 20 percent non-refundable tax credit for the first $10,000 thereafter. An estimated 7.2 million students will receive $2.7 billion in Lifelong Learning tax credits in 2000.

- **Tax deduction for employer-paid higher education expenses.** For adults going to school while they work, recent tax legislation extends Section 127 of the tax code for three years. This provision allows workers to exclude up to $5,250 of employer-paid education benefits from their income. The assistance must be for undergraduate courses beginning prior to June 1, 2000. This provision will enable many Americans to pursue their goals of lifelong learning.

Expanded opportunities to save for college

- **New education IRAs and use of regular IRAs for education expenses.** Parents and grandparents can now create education IRAs and make penalty-free withdrawals from other IRAs.
  - Beginning January 1, 1998, taxpayers can withdraw funds from an IRA, without penalty, for their own higher education expenses or for those of their spouse, child, or even grandchild.
  - In addition, for each child under age 18, families may deposit $500 per year into an Education IRA in the child's name. Earnings in the Education IRA will accumulate tax-free and no taxes will be due upon withdrawal if the money is used to pay for postsecondary tuition and required fees. Once the child reaches age 30, unused Education IRA funds must be closed or transferred to a younger member of the family.

- **Support for state-sponsored prepaid tuition plans.** In order to provide greater flexibility for families saving in qualified state tuition plans, when a family uses a qualified state-sponsored tuition plan to save for college, no tax is due in connection with the plan until the time of withdrawal. Furthermore, families may use these plans to save not only for tuition but also for certain room and board expenses for students who attend on at least a half-time basis. These benefits became available on January 1, 1998.

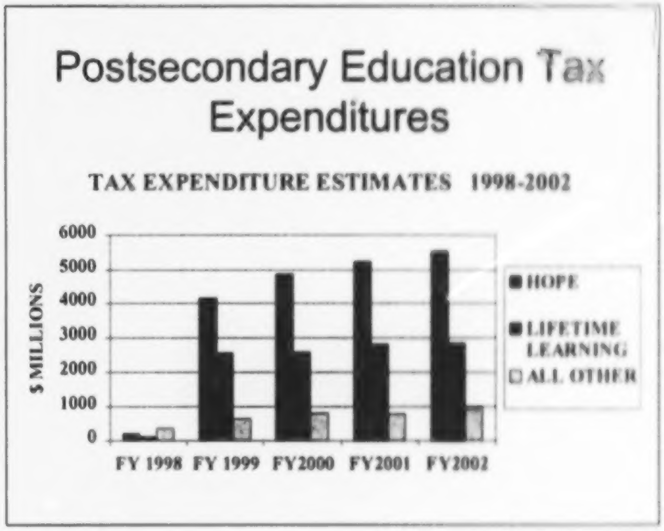
Tax relief for borrowers repaying loans

- **Student loan interest deduction.** For many college graduates, one of their first financial obligations is to repay their student loans, which average about $13,500 per student. The new student loan interest deduction will reduce the burden of the repayment obligation by allowing students or their families, subject to certain income limitations, to take a tax deduction for interest paid in the first 60 months of repayment on student loans. The deduction is available even if an individual does not itemize other deductions. The maximum deduction is $1,000 in 1998, $1,500 in 1999, $2,000 in 2000, and $2,500 in 2001 and beyond.

- **Community service loan forgiveness.** This provision excludes from income the student loan amounts forgiven by nonprofit, tax-exempt charitable or educational institutions for borrowers who take community service jobs that address unmet community needs. For example, a recent graduate who takes a low-paying job in a rural school will not owe any additional tax if his or her college or another charity forgives a loan it made to the student. This provision applies to loans forgiven after August 5, 1997.

Figure 93

Tax Expenditure Benefits and Costs



Tax expenditures create substantial benefits to students and families by increasing the value of the student aid received, by providing additional savings for college, or by reducing the cost of indebtedness. Among these benefits, the HOPE Scholarship and Lifetime Learning tax credits are the two largest, comprising nearly 90 percent of total benefits. For FY 2000, the Department of the Treasury estimates that 5.5 million students could benefit from HOPE, while 7.2 million could benefit from the Lifetime Learning credit.

Tax Expenditures are projected to increase from $680 million in FY 1998 to $9.325 billion in FY 2002. The chart (see Figure 94) illustrates the trends for major tax expenditure components between FY 1998 and FY 2002.

Role of Evaluation in GPRA

Evaluations are defined by GAO as "individual systematic studies conducted periodically or on an ad hoc basis to assess how well a program is working." In FY 1998, the Department spent approximately $34 million on evaluations, with over 85 percent of the funds being directed by the Planning and Evaluation Service (PES). Approximately two-thirds of evaluation funds were spent in the elementary and secondary education programs with the remainder evenly distributed between the postsecondary, vocational and adult, and special education and vocational rehabilitation areas.

In response to GPRA and the availability of new technologies, the Department is in the process of reengineering its approach to evaluation. The revamped evaluation strategy will emphasize improving the timeliness of the collection, validating performance reporting through routine program collections, using evaluations to independently measure performance, strengthening information on the effectiveness of program strategies, and studying external factors.

1. Improving the timeliness of performance information

The advent of the Internet and other forms of electronic information and the increased accountability for results have heightened expectations for the availability of useful, real-time information on program performance. This means that we can no longer wait several years for evaluation findings regarding whether a program is working. Program managers and others need useful, real time data on how their programs are performing, particularly regarding the many new initiatives that were passed in FY 1999. Efforts being made to restructure evaluations to help provide useful data in a timely fashion include the following:

Electronic submission of all evaluations and performance reports for major programs by the end of FY 2000. Currently, most ED programs do not have grantees submit their performance reports electronically. PES is working with the Chief Information Officer (CIO) to develop a system to enable full electronic submission of performance data for all programs. Pilot studies will begin in FY 1999 to provide technical assistance in terms of the development of indicator measures, form design, and quality control. Electronic submissions of performance reports will expedite the receipt of information and make it much easier to analyze the data. The current paper-based system not only is slow but also makes it difficult to identify trends in the data and to compare performance across groups.

Development of panel networks: The creation of networks of program grantees and end-customers will allow the receipt of real-time information from a sample of service providers regarding the operation of our programs. These providers would be electronically networked to ED and to each other. They could share information about ongoing management issues and stand ready, per a prior agreement with ED and pre-approved OMB clearance, to respond in real time to survey questions. Two different types of panel structures are being considered:

- Specific program panels to allow for instantaneous feedback concerning the operation and management of the program. This feedback would be particularly helpful in implementing new programs which grantees often have difficulty getting started; moreover, the ability to identify and correct problems as they occur, as well as to share successful strategies among grantees, would be of great value.

- Cross-cutting samples of end-customers such as kindergarten through third grade reading teachers, fifth- to -eighth-grade math teachers, or high school principals. These panels would help keep ED informed of what is going on in the field related to key initiatives of having all children reading independently by third grade; knowing math, including algebra, by the eighth grade; and being prepared for college.

Speeding-up forms clearance. Although some progress has been made in obtaining speedier clearance, the typical evaluation still requires about 7 months to proceed through all the approval processes. By contrast, a typical customer survey for a large corporation would take about 3 months from start to finish. The Department will be working with OMB to expedite the process within the framework of legislative requirements.

Development of ED systems for electronic storage and analyses. The Department is proceeding on developing a data warehousing system to facilitate efficient data storage and analyses. Data warehousing will also improve integration of information across data collections, reducing reporting burden by avoiding the unnecessary collection of duplicative or similar information.

2. Validating performance reporting through routine program collections

The section on the "Quality of Performance Data" in this plan lays out standards for program performance information. Once in place, assessments will evaluate how well data collections meet standards.

Data system development: Program data systems may not collect the types of data or have data organized in a manner needed for performance measurement. Evaluation studies can help identify situations in which existing data can be compiled in a manner that is indicative of program performance. For example, studies comparing student performance across states and student default rates across institutions not only led to major policy shifts but also to the creation of data systems to routinely capture these data. Currently, several evaluation studies are under way to improve the systems used to report data on the elementary and secondary education programs specifically the Even Start, Eisenhower Professional Development, and Safe and Drug-Free School programs.

Verification: The quality of performance data provided by program data system is sometimes unknown. The Inspector General is launching pilot evaluations of data quality in several state grant programs. Program evaluations will build on the work of the IG and conduct data quality verifications for a number of major programs. For example, the National Student Loan Data System (NSLDS) Verification study already compared loan data provided by lenders and Guarantee Agencies against the data maintained by the Department in the NSLDS and found a relatively high frequency of mismatches. This information was then used to help improve the procedures by which data were entered into NSLDS. Along with student aid, data submissions will be validated for major elementary and secondary education programs including Title I, Safe and Drug-Free Schools, Eisenhower Professional Development, vocational education, and adult education.

3. Using evaluations to independently measure performance

Routine collection of performance information through grantee reporting and management information systems will be supplemented with periodic, independent performance evaluations. These evaluations may provide rigorous information on net impact that is not feasible to get through routine reporting, and external benchmarks to validate the regularly reported performance information. In addition, evaluation studies can provide detailed descriptions of program operations and performance that are not feasible to get through routine reporting mechanisms.

Net impact studies: Evaluations of the net impact of a program attempt to measure the amount by which outcomes for the recipients of a given program differ from those that would have occurred in the absence of the program. Net impact studies tend to be done on large (over $100 million) or important programs where direct services can be provided to only a subset of the eligible population. Examples include the following:

- The Student Support Services (SSS) evaluation, which is measuring the net impact of the SSS program on college retention and graduation, grade-point average, and transfer behavior (from 2-year to 4-year institutions). Outcomes are being compared between students receiving SSS services and a control group consisting both of students at the SSS institutions who did not participate in the program and students at matched institutions not participating in the SSS program.

- The Upward Bound evaluation, which is measuring the net impact of the Upward Bound program on students' preparation for college, high school graduation, and college entry and achievement. Students were randomly assigned to treatment and control groups, and their outcomes are being compared as they progress through high school and enter college.

- Two new studies are beginning that will be looking at net impacts. The Assessment of Vocational Education will evaluate the impact of vocational education in a number of areas including student outcomes. The Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR-UP) evaluation will evaluate the short-term (course-taking patterns, student and parent expectations, high school retention, etc.) and long-term (high school completion, college attendance, etc.) impacts of GEAR UP.

Gap-closing studies: Many of ED's programs are targeted at disadvantaged populations. One way to assess the effectiveness of these programs is to evaluate whether the gap in key outcomes between the population served by the program and a more advantaged group is narrowing. Gap-closing studies are practical for major programs that might be expected to have results that affect the overall educational system and where net impacts are difficult to assess. Examples include:

- The federal student financial assistance programs in which all persons meeting the eligibility criteria can participate, making it difficult to create a comparison group of people not receiving services. Outcomes being measured in the student aid programs include narrowing the gap in college access and completion rates between low- and high-income students and assessing the contribution that financial aid makes in equalizing the ability to pay for college across income groups.

- The Title I program where funding is commingled at the recipient level making it difficult to links specific activities with a given funding stream. A number of evaluations have been conducted of the Title I program assessing whether Title I funding is contributing to a closing of the learning gap between high-poverty and low-poverty schools. The Reanalysis of the National Assessment of Education Progress (NAEP) study also compared performance on NAEP for students enrolled in high- and low-poverty schools.

Descriptive studies: An assessment of program outcomes does not necessarily require comparisons between those who receive the program services and those who do not. Detailed descriptions of the services received by program recipients can also provide useful information on program performance. For example, a key dimension of many programs is determining which populations should receive services. Evaluation studies that look at which groups receive services and whether the effect of these services differs across groups are very valuable in determining whether the targeting strategy being followed is effective. Examples include the following:

- The Study of Education Resources and Federal Funding analyzes the uses of federal resources from six major elementary and secondary programs. The study focuses on the targeting of funds among school districts and, for Title I, among schools.
- The Third National Evaluation of the Even Start Literacy Program describes the characteristics of the program and participants and measures literacy outcomes for parents and children.
- The National Evaluation of School-to-Work provides a detailed description of how the program is operating at the state and local levels based on student surveys, transcripts, and case studies of 8 states and 39 communities.

Customer satisfaction studies. ED is working to have most of its customer satisfaction evaluation activities become an integral part of program delivery activities rather than being administered centrally. ED is now integrating program monitoring, measurement of customer satisfaction, and evaluations of program results in a coordinated system. However, there is a role for evaluation studies to play in providing an independent assessment of customer satisfaction, particularly in programs that provide direct services to individuals as opposed to programs that operate through intermediaries such as state and local education authorities. Examples include these:

- The Direct Loan evaluation, in which the success of this new program was judged against its key objectives of providing improved customer satisfaction and ease of use. Customer satisfaction was measured over time for postsecondary institutions and student and parent borrowers participating in the Direct Loan program compared with the satisfaction of participants in the existing Federal Family Education Loan (FFEL) program.
- The Comprehensive Assistance Centers evaluation, which is looking at customer satisfaction, among other outcomes, for all 15 Comprehensive Centers, 800 state district and school customers, 750 participants in Centers' activities, and 800 non-customers.
- Postsecondary Customer Satisfaction Surveys, which assessed postsecondary institutions' satisfaction with the Title IV delivery system, TRIO grantees' satisfaction with the operation and management of their program, and student aid applicants' satisfaction with the application process.

4. Strengthening information on the effectiveness of program strategies

Simply assessing the performance of a program will not necessarily lead to strategies for program improvement. Studies finding negative outcomes may not contain information on how to fix the problem, and findings of positive outcomes do not mean that further improvements are not possible. As discussed in the paragraphs that follow, ED is undertaking several different types of evaluation studies designed to identify strategies for improving programs.

Implementation studies: The start-up of new programs or major revisions to existing programs put considerable pressure on all participants to develop procedures for successfully implementing the program. Studies that are conducted as the program begins or shifts operations and can provide quick feedback on the success of efforts to implement the program. Results from these studies can be very

179

useful in helping to assess the implementation process and to identify potential problems and corrective action strategies. Examples include these

- The Baseline State, Follow-Up State, and District Implementation studies, which look at how the ESEA and Goals 2000 programs are being implemented at the state and local levels Key issues include standards development, assessment and accountability systems, state support for school improvement, and district efforts to support implementation of the programs within the context of state and local reforms.

- The Study of Local Education Agency (LEA) Activities under the Safe and Drug-Free Schools (SDFS) Program provides information on LEA implementation of the SDFS program. Issues of interest include the use of funds, project goals and objectives, and evaluation activities.

- The Department is planning implementation studies for several new programs recently authorized, including the 21st Century Scholars, GEAR-UP, and Teacher Quality programs.

- Small-Group Observations represent new approaches to evaluation currently being explored to obtain in-depth observations on selected providers in a timely manner. They include the use of reports (sent back continuously via e-mail) from trained staff visiting various sites, anonymous testers who would simulate the experience that ED clients face interacting with our programs, and standing focus group panels to respond to emerging issues. These initiatives would help enable us to uncover the key processes that help determine a program's performance and feed them back into program operation in a timely manner.

Best practice studies: Many ED programs provide funds to other organizations (states, school districts, postsecondary institutions, community groups, etc.) which are then used to provide services to program participants. Often the organizations providing services will have a great deal of flexibility in the procedures they employ and the specific nature of the services they provide. This variability among providers creates a large demand for evaluation studies that can identify successful program models and procedures that can then be disseminated. Once identified, performance measures can then be established to measure the frequency with which service providers are following practices associated with successful outcomes. Examples include these:

- The *"What Works"* Study for Adult English as a Second Language Literacy Students and the Evaluation of Effective Adult Basic Education Programs and Practices, both of which are trying to identify approaches to teaching adults with little or no education that result in significant learning gains.

- The 21st Century Community Learning Centers evaluation, which will try to identify characteristics of after-school programs that lead to significant positive changes in achievement, course-taking patterns, class participation, behavior, and attendance.

5. Studying external factors

GPRA explicitly calls for strategic plans to take into account external factors that may influence plan success. Evaluations can help us understand how outside factors affect the attainment of our goals and lead to strategies for counteracting these factors. Examples of such studies include these:

- The Quality and Impact of SDFS Program Activities study, which analyzes the factors affecting the success of research-based approaches to reducing violence and alcohol and other drug use among school-age youth.

- The Study of Factors Related to College Enrollment, which attempted to identify the key factors that explained college enrollment, particularly among high-ability, low-income students. Findings from this study were used to develop several of the strategies employed in attempting to achieve objective 3.1 of the strategic plan, "secondary school students get the information skills, and support they need to prepare successfully for postsecondary education."

- The Longitudinal Study of the Vocational Rehabilitation (VR) Service Program, which assesses the impact of local economic and environmental factors on VR services and outcomes.

In summary, the Department of Education uses evaluation studies in many ways in the GPRA process. Evaluation studies are used to assess the outcomes of programs, identify program improvement strategies, and improve performance measurement data. Individual evaluation studies used in preparing this Annual Plan are listed in Volumes 1 and 2 and descriptions of these studies are provided in Appendix B.

Quality of Performance Data: How Data Will Be Verified and Validated

Effectively reporting the performance of the Education Department (ED) in achieving its Strategic Plan goals and objectives requires simultaneously developing a new integrated data system and fixing old ones. The new system will streamline and integrate existing data systems to improve their timeliness and utility. Existing data systems will be strengthened by the implementation of data quality standards throughout the Department. These activities will be applied to the two major performance indicator systems: one for the elementary and secondary system and another for student aid. Collectively, these systems account for about three-quarters of the Department's funds.

ED's comprehensive set of activities to improve data is built around three strategies:

- Implementing data quality standards throughout ED.
- Developing an integrated data system for elementary and secondary program data collections, and
- Improving postsecondary data quality.

Actions being taken to achieve these strategies are described below, followed by highlights of the strategies being taken to improve the quality of elementary/secondary and postsecondary data.

Implementing data quality standards

The quality of ED's performance measures can be no better than the quality of the data from which they are generated. Inadequate attention to data quality produces inaccurate information and misleading results. The lack among many program staff of formal training in information processing, evaluation, and reporting is a further impediment to obtaining high-quality information.

To ensure the quality of performance indicator information, ED is proceeding on a four-part improvement strategy:

- *Develop Department-wide standards for performance indicator measurement.* Since 1998, ED has undertaken a major effort to define Department-wide data quality standards that apply to all GPRA data systems. These standards are summarized in Exhibit 1. These standards have been developed by Planning and Evaluation Service working in close consultation with the Office of the Inspector General, National Center for Education Statistics, and several program offices.

- *Require programs to systematically review the quality of their data collection systems.* Data systems within each of the Department's principal operating components will be graded on the quality of their data. Assistant secretaries will be required to develop an improvement plan for their data systems.

- *Develop and implement training of ED program data managers in the application of the data standards for performance measurement.* Department-wide training on data quality standards for program data managers will include identification of data system weaknesses and development of concrete plans for their improvement, followed by individual coaching to help improve these systems.

Exhibit 1

Strategies for Ensuring High-Quality Information for Strategic Plan and Program Performance Indicators[1]

By 2000, all ED program managers will assert that the data used for their programs' performance measurement are reliable, valid, and timely, or will have plans for improvement.

By 2000, all program data collections will be required to demonstrate evidence that they meet the data collection standards summarized below:

- **Data collection standards**[1]
    - **Occurrence/completeness**. Ensure that performance information is accurate and complete.
    - **Comparability**. Ensure that performance data are comparable and consistent over time and among respondents.
    - **Editing**. Ensure that performance data are accurately entered from original sources.
    - **Calculation**. Ensure that performance measures are accurately computed using the right numbers and formulas.
    - **Timeliness**. Ensure that performance information is collected on a regular and timely basis.
    - **Reporting**. Ensure full disclosure of limitations, sources, and methods used for obtaining performance data.

- **Employee training in high-quality performance measurement systems**
    - **Materials and tools**. Train program managers in skills necessary to develop high-quality performance measurement data.
    - **Coaching**. Tailor coaching to individual offices' data system needs.

- **Monitoring and continuous improvement of data quality**
    - **Staff performance agreements**. Require program managers, as part of their performance agreement, to review the quality of their program performance information and to implement plans for its improvement.
    - **Evaluation of data quality**.
      --Conduct independent reviews of data systems providing data for major programs.
      --Conduct program-by-program indicator reviews to assess the accuracy of key indicator information.
      --Issue an annual report card on the quality of key data systems.
    - **Inspector General**. Support Inspector General reviews of data quality (see **exhibit 2**).

- **Accountability for data quality**
    - **Attest to data quality.** "By the year 2000, all ED program managers will assert that the data used for their program's performance measurement are reliable and valid or will have plans for improvement" (objective 4.7: **indicator 31**).
    - **External validation**. Evaluate program managers' assertions through IG audits and program evaluations.

---

[1] See Exhibit 3 at end of this section for Draft Standards for Evaluating the Quality of Performance Indicators.

183

- *Monitor data quality.* ED will examine GPRA indicators for key programs to determine their accuracy and validity, by examining the information provided by all levels of the system. The findings of this effort will be used to recommend data system improvements. ED will also use program evaluations for data validation. In addition, the Department is working closely with its Office of Inspector General to independently monitor the reliability of its data quality in high priority areas. See **Exhibit 2** on Inspector General's activities.

- *Managers attest to the reliability and validity of their performance measures or submit plans for data improvement.* Internal ED evaluations of the accuracy and validity of GPRA indicators will be followed by program managers attesting to the quality of their data systems or providing explicit plans for their improvement.

Exhibit 2

Inspector General's Support for Data Verification and Validation

The Office of Inspector General (OIG) has participated in an advisory capacity in the development of ED's Strategic Plan and Annual Plan and will continue to provide this service to Department managers.

On September 23, 1998, the OIG issued an audit report titled "Moving Towards a Results-Oriented Organization," (Audit Control Number 17-70007). The objectives of the audit were to assess the status of ED's implementation of the Results Act and the development of systems for the timely and accurate reporting of performance indicators.

During the development of the Strategic Plan, the OIG recommended that ED program managers assert that the data used for their program's performance measurement are reliable, and if they are not reliable, to detail plans for improving the data or finding alternative sources. ED agreed with the OIG's recommendation and included it as a performance indicator in the Strategic Plan. Subsequently, audit work will focus on assessing the reliability of performance data for selected programs and indicators. The OIG is currently visiting four State Education Agencies (SEAs) to identify controls that ensure the reliability of performance data submitted by SEAs to ED. The OIG will also identify limitations or weaknesses in the performance data and the barriers or obstacles to improving the quality of that data.

Cooperating with State agencies in an integrated performance and benchmarking system (IPBS) for elementary and secondary program data collections

An important component of ED's information improvement strategy is a long-term 5-year plan to create an Integrated Performance and Benchmarking System for elementary and secondary program data collections (IPBS). The goal of this system is to reduce paperwork and to streamline the federal education program reporting system in such a way that it provides states, districts, school boards, and parents with accurate, comparable information about how federal programs results. A key component will be to enable schools and districts to compare their results with others in the country. The system will be electronically based and designed in cooperation with States to develop a set of mutually needed core performance indicators and increase the compatibility of the data collection systems. Piloted with a few states in 1999, when fully implemented in 2004, this system will:

- Replace currently overlapping, burdensome, and antiquated education program reporting systems, making federal education data more coherent, timely, and comparable across units and over time.
- Increase the usefulness of federal data to states, districts, and the general public through improving data timeliness, accuracy and alignment with State systems.
- Facilitate the development of annual schools, state, and district report cards, which allow comparison and benchmarking between states and districts.

Specifically IPBS will:

- Use a core set of key performance indicators both for federal program accountability and state, district, and school profiles.
- Be owned and maintained by states, districts, and schools, who sign on to an Internet site and report the data needed for the key performance indicators.
- Protect student confidentiality to make individual identification of students impossible.

Improving the quality of postsecondary data

Validity and accuracy of postsecondary performance measures. Data used to measure progress toward achievement of the performance indicators come from several sources, including program data, surveys conducted by the National Center for Education Statistics (NCES), and evaluation studies. Steps being taken in 1999 and 2000 to strengthen the quality of these data include these:

- Improving the coordination of data related to postsecondary education through the National Postsecondary Education Cooperative (NPEC), which is sponsored by NCES with the mission "to promote the quality, comparability, and utility of postsecondary data and information that support policy development, implementation, and evaluation." NPEC will help improve the efficiency and usefulness of the data reported on postsecondary education by standardizing definitions of key variables, avoiding duplicate data requests, and increasing the level of communication between the major providers and users of postsecondary data.

- Continuing to support and strengthen NCES's major postsecondary data collection activities, including the Integrated Postsecondary Education Data System (IPEDS), the National Postsecondary Student Aid Study (NPSAS), the Beginning Postsecondary Student Study (BPS), the Bachelor's and Beyond Study (B&B), and the National Education Longitudinal Study (NELS). A major area of expected improvement in the quality of these data collections is the use of the Internet to obtain data from institutions. The use of the Internet will also reduce the burden on institutions of providing data to ED.

- Using evaluation methods and findings for the TRIO and Title III programs to help improve the data collected in the annual program performance reports, to provide a more accurate and more complete picture of the activities and outcomes of the two programs.

Accuracy and efficiency of program data systems. In FY 1999, the Department of Education will provide nearly $51 billion in federal student aid funds. To properly distribute and account for these funds, the Department of Education needs to process and store data from over 8 million student aid applications, 93 million individual student loans with a value of more than $150 billion, 6,000 postsecondary institutions, 4,800 lenders, and 36 state guarantee agencies. Ensuring the accurate and efficient collection of these data is a key component in the successful delivery of the student aid programs and achievement of Goal 3 in ED's Strategic Plan, to "ensure access to postsecondary education and lifelong learning."

The Higher Education Amendments of 1998 established a performance-based organization (PBO) to modernize the delivery of student financial aid. This is an historic milestone in the Administration's efforts to improve services to millions of students and the postsecondary institutions they attend. The PBO will make it possible to meet these challenges and to keep pace with the rapid rate of technological change in the financial services industry. Customer service will improve, and the public's confidence in the administration of student aid programs will grow. Steps being taken by the PBO to improve the efficiency and quality of the student aid delivery system include the following:

- Improving data accuracy by:
    - Continuing or expanding interagency coordination on data matches–with the Internal Revenue Service; the Social Security Administration; the Immigration and Naturalization Service; the Selective Service; the U.S. Postal Service; and the Departments of Defense, Justice, and Housing and Urban Development–to help improve data accuracy and reduce burden on respondents,
    - Establishing by December 1999 industry-wide standards for data exchanges to stabilize data requirements, improve data integrity, and reduce costly errors,
    - Receiving individual student loan data directly from lenders rather than through guarantee agencies and by expanding efforts to verify the data reported to the National Student Loan Data System, and
    - Working with the Internal Revenue Service to establish procedures for verifying income tax data provided students and their families in applying for federal student financial assistance.
- Strengthening indicators of customer satisfaction to provide early warnings of possible delivery system problems. This step will build on ED's successful on-going evaluations of its institutional and student aid customers.
- Refining a risk management system that encompasses all relevant data regarding postsecondary institutions operation and management of the student aid programs, so that compliance and enforcement activities can be targeted on poorly performing institutions.
- Preparing a system architecture for the delivery of federal student aid by December 1998 that will help integrate the multiple student aid databases based on student-level data, in order to improve the availability and quality of information on student aid applicants and recipients.

Challenges

Several challenges face ED as it moves to improve the quality of its performance data. The most significant challenges include, time, expertise, resources, and commitment.

- **Modernization of outdated systems**. Most program data collection systems were designed before the electronic era, and have not been substantially revised. Revision requires sustained attention of personnel at all levels of the federal government, and collaboration with states and districts.

- **Time**. The scope of revisions required to develop a high-quality, integrated electronic data collection system that is useful to federal, state, and local policymakers will require several years to develop and implement.

- **Personal and financial resources**. An undertaking of this scale and complexity will require substantial financial and personnel resources each year. There must be an unprecedented level of commitment on the part of ED's leadership and program staff as well as of those in related Executive Branch departments and the state and local educational agencies. The lack of internal expertise with the Education Department in the management of large-scale data systems will require a considerable investment in staff development. In some offices, it will also necessitate a cultural change that recognizes, as an office priority, the need to obtain sound and timely program performance data.

Reference

Hatry, Harry, and Kopczynski, Mary. *Guide to Program Outcome Measurement for the U.S. Department of Education*. Washington, DC: U.S. Department of Education's Planning and Evaluation Service, 1997.

Exhibit 3: Data Quality Standards: Definitions and Examples

Standard	Definition	Examples Meeting the Standard and Failing to Meet the Standard	Possible Data Checks
Occurrence—It Happened	• The recorded transactions, events, conditions on which the measures are based actually occurred or existed during the reporting period. • The measures correspond or agree with the phenomena that they purport to represent.	**Meeting:** • A counted student actually receives services. • Data are measured for the correct time period. **Failing:** • Students are double-counted. • Data overlap the beginning or end of a fiscal year.	• From where is the number coming? Is this source appropriate? Is it best? • Do original records confirm that they consist of accurate data? • Have random checks been made against accurate original records in cases where there is evidence of a problem? • Has each measure been assessed to determine whether experts, data providers, and users believe that the item measures what it is intended to measure?
Completeness—No Omissions	**For Universe Data** • All transactions, events, conditions, etc., applicable to the reported measures are included.	**Meeting:** • All teachers are included in the count. **Failing:** • Certain types of schools (e.g., charter or private) or students (e.g., LEP, children with disabilities) are omitted.	• Are all data elements required or needed for indicators present? • Are there any missing units of analysis? • Are there any missing data? • For sample data: Has a reasonable response rate been achieved?
	For Sample Data • Population from which sample is drawn is clearly defined. • Samples are taken of the appropriate unit of analysis. • Samples are of sufficient size to enable generalizations to the population to be made. • Samples are appropriately representative.	**Meeting:** • Survey respondents meet the definition of sampling units. **Failing:** • If statements are made about teachers, teachers and not schools were sampled.	
Comparability—Data Are The Same	• Measures as collected are comparable over time and between	**Meeting:** • Student data from a new test can be	• Are data consistent across reporting units?

Standard	Definition	Examples Meeting the Standard and Failing to Meet the Standard	Possible Data Checks
	respondents.	compared with data from a previous test. **Failing:** - States combine data that have different definitions.	- Will aggregation be consistent across units? - Have the data been compared with other databases reporting the same or similar statistics? - Are all variables, response categories and definitions consistent over time?
Editing—Data Are Clean	- Data elements are accurately entered from original sources.	**Meeting:** - Sum of percentages is 100%. **Failing:** - Entries are out of range.	- Are there any "bad" data elements in which data are "unreasonable" or out of range? - Have the data collected, processed, and reported been systematically reviewed and corrected any errors found? - Have the data been checked for consistency over time to ensure that: the magnitude of the data is "reasonable"; the percentage change in elements from year to year is "reasonable; there are consistent trends in the data? - Have the data been checked for internal consistency: totals, ratios, products match; there are no coding violations? - Have edit checks been made from level to level when data are aggregated (e.g., from school to LEA to SEA)?
Calculation—The Math is Right	- Measured amounts (numbers, percentages, ratios, etc.) are accurately computed using the right numbers and formulas.	**Meeting:** **For Universe Data** - The divisor for a ratio is properly chosen. - Percentage served is a ratio of number served to targeted population, not general population as appropriate for the given indicator. - Rounding is done correctly.	- Do all respondents use the same unit of data gathering reporting? - Is the period for which data are collected the same for all respondents? - Do respondents use a standard format for reporting program data that has not changed over the life of the program/data base?

Standard	Definition	Examples Meeting the Standard and Failing to Meet the Standard	Possible Data Checks
		For Sample Data • Sample weights are properly applied. • Portrayal of measured amounts is free of unwarranted inference of precision. **Failing:** **For Universe Data** • A formula for computing dropout rates is misapplied. • The increase from 3% to 13% is 10 percentage points, not 10 percent. **For Sample Data** • Non-response rates are not properly calculated. • The wrong significance test is used.	• Is each component of the formula correctly defined?
Timeliness—Data Are Recent	• All steps possible are taken to ensure data are reported in a timely fashion.	**Meeting:** • Data are collected and reports are forwarded as soon as possible after the close of the data collection period. **Failing:** • Reporting of data is delayed for several years.	• Are performance data collected on a regular and timely basis? • Are findings disseminated to intended users, so that they can be used in a timely fashion? • Is the time between the date of data collection and reporting short? • Is automation used as much as possible, including maintaining the data in machine-readable form?
Reporting—Full Disclosure	• What was done is clearly explained. • Limitations are clearly stated. • Findings are fairly and impartially summarized. • Portrayal of measured amounts is factual. • Measures are impartial–free from measurement bias and neutral of any effect on a particular interest; departures from this are disclosed. • Graphics/Report exhibits are properly documented, including	**Meeting:** • States supply documentation on data collection processes. • Reports are based on actual data; there are no unsupported inferences. • Data are rounded to the appropriate number. • Measures are unbiased; no measures are used that favor a particular ethnic group. **Failing:** • Source and time frame for graphics/exhibits is omitted.	• Are data bases well documented and is documentation thorough, current, accurate, and readable? • Are routine procedures for correcting problem data and resolving data inaccuracies documented? • Are problems clearly and publicly documented? • Are conclusions reached explicitly justified so that stakeholders can assess them? • Are performance indicators appropriately disaggregated down to

BEST COPY AVAILABLE

Standard	Definition	Examples Meeting the Standard and Failing to Meet the Standard	Possible Data Checks
	complete legends, scales, sources, time frames, etc.	• Achievement scores are imputed unjustifiably.	key operational units (e.g., States for State grant programs)? • Do measures remain consistent with those agreed by experts to measure good practice? • Are questions asked of the appropriate respondents at the appropriate level (State, LEA, school)? • Is someone reviewing the report and checking it for accuracy? • Are you documenting any reports fully and providing complete citations?

Appendix A. Coordination with Other Federal Agencies

ED Federal Coordination: Summary Chart

	Objective 1.1	Objective 1.2	Objective 1.3	Objective 1.4	Objective 1.5	Objective 1.6	Objective 1.7	Objective 2.1	Objective 2.2	Objective 2.3	Objective 2.4	Objective 3.1	Objective 3.2	Objective 3.3	Objective 3.4	Objective 4.1	Objective 4.2	Objective 4.3	Objective 4.4	Objective 4.5	Objective 4.6	Objective 4.7
White House					✓		✓	✓			✓					✓						
Agriculture (USDA)					✓													✓				
Commerce							✓			✓												
Defense (DOD)	✓								✓	✓				✓								
Energy										✓												
Health and Human Services (HHS)			✓		✓		✓	✓	✓		✓				✓			✓				
National Institute of Mental Health																						
Housing and Urban Development (HUD)					✓		✓							✓								
Interior	✓								✓	✓												
Justice (DOJ)			✓		✓				✓		✓			✓								
Labor (DOL)		✓					✓				✓				✓		✓					
Transportation										✓												
Treasury													✓	✓	✓							
Additional Agencies and Organizations																						
College Board					✓							✓										
Corporation for National Services (CNS)					✓				✓													
Environmental Protection Agency (EPA)										✓												
Federal Communications Commission (FCC)							✓															
Federal Interagency Coordinating Council (FICC)								✓														
General Services Administration (GSA)																✓				✓	✓	
Government Printing Office (GPO)																✓						
Job Corps		✓																				
National Academy of Sciences	✓								✓													
National Aeronautical and Space Administration										✓												
National Education Goals Panel	✓																					
National Science Foundation (NSF)	✓			✓	✓		✓	✓	✓	✓		✓						✓				
National Staff Development Council				✓																		
Office of National Drug Control Policy (ONDCP)			✓																			
Office of Personnel Management																				✓		
Office of Science and Technology Policy							✓															
Selective Service														✓								
Social Security Administration															✓							
US Postal Service (USPS)														✓								

U.S. Department of Education – Coordination with Federal Agencies

Departments	
White House	• **Family and Community Involvement**. Work with the White House Cabinet Affairs office to successfully implement the Partnership's national initiative, *America Goes Back to School*, through participation of every federal agency. Participate in White House activities promoting their *Strong Families, Strong Communities* initiative in such areas as fatherhood, family involvement in education, and Family Reunions. (Objective 1.5) • **Technology.** Working with the White House National Economic Council, White House Office of Science and Technology Policy, and other agencies, the Department is working to increase school and community access to educational technology and to encourage its effective use. (Objective 1.7) • **Children's Health Insurance Program (CHIP).** Work with the White House, HHS, and other federal agencies to conduct outreach to educators and families about the availability of free and low-cost insurance for children. (Objective 2.1) • **President's Hispanic Education Initiative**. As the lead agency for the President's Hispanic Education Initiative, ED works with the White House to build upon public and private partnerships to support increased family and community involvement in education. For example, with the Partnership for Family Involvement in Education, ED promotes America Reads and other efforts to support a greater emphasis on reading through Spanish language television (e.g., UNIVISION), radio, and print media. (Objective 2.4) • **Executive Order on American Indian and Alaska Native Education**. Support programmatic strategies—including dissemination and support for the implementation of comprehensive reform strategies—and conduct research related to the education of Native Americans, as determined by an interagency task force. (Objective 2.4) • **National Partnership for Reinventing Government (NPRG).** Continued to work NPRG to network with other federal agencies on best practices for customer service delivery. (Objective 4.1)
Agriculture **USDA**	• **After-school programs.** The Family-School Partnership Initiative, USDA, and other agencies participate in the Federal Support to Communities Initiative, which was established to coordinate after-school programs. (Objective 1.5) • **Research.** The National Center for Education Statistics (NCES) is implementing an early childhood longitudinal study with HHS and USDA. (Objective 4.3)

BEST COPY AVAILABLE

U.S. Department of Education – Coordination with Federal Agencies

Commerce	• **Technology**. The Department is cooperating with Commerce and other agencies to increase school and community access to educational technology and to encourage its effective use. (Objective 1.7) • **Math and science achievement.** Coordinate with the Department of Commerce and others to implement an interagency action strategy for improving achievement in mathematics and science. (Objective 2.3)
Defense **DOD**	• **Standards and accountability**. The Department of Defense is represented on the Department of Education's Standards and Accountability Team. (Objective 1.1) • **Children's reading.** OIIA and the America Reads Challenge (ARC) Office will collaborate with the U.S. Army's Extended Learning Program to train its program directors in using READ•WRITE•NOW! Strategies and materials. (Objective 2.2) • **Math and science achievement.** Coordinate with the Department of Commerce and others to implement an interagency action strategy for improving achievement in mathematics and science. (Objective 2.3) • **Defaulted borrowers.** OPE will work with DOD to better track defaulted borrowers and return them to repayment. (Objective 3.3)
Health and Human Services **HHS**	• **Drug prevention activities.** OESE's Safe and Drug-Free Schools (SDFS) office will continue to pursue joint projects, including efforts to provide training and technical assistance to educators, communities, and states with the Center for Substance Abuse Prevention, Maternal and Child Health Bureau, and National Institute on Drug Abuse (NIDA). (Objective 1.3) • **Research.** ED has requested $25 million for an interagency research initiative on educational technology and instructional practice. (Objective 1.7) • **Coordination Council.** Use the Federal Interagency Coordination Council (FICC) to coordinate strategies for children with disabilities and their families. (Objective 2.1) • **Children's Health Insurance Program (CHIP).** Work with the White House, HHS, and other federal agencies to conduct outreach to educators and families about the availability of free and low-cost insurance for children. (Objective 2.1) • **Research**. Continue work with NSF and NICHD on the interagency research initiative that will focus on school readiness (Objective 2.1, Objective 2.2) • **Defaulted borrowers.** Work with HHS to better track defaulted borrowers and return them to repayment. (Objective 3.3) • **SSA beneficiaries.** RSA will address with SSA the disincentives that affect SSA beneficiaries. (Objective 3.4) • **Research**. Several ED offices (OESE, OERI, OUS, and OSERS) have announced a new interagency Education Research Initiative designed to bring together researchers from various disciplines. (Objective 4.3) • **Prevention Activities.** OESE's SDFS office will support the Initiative on Youth Substance Abuse Prevention with HHS's Substance Abuse and Mental Health Services Administration, National Institute on Alcoholism and Alcohol Abuse, and NIDA (Objective 1.3) • **Evaluation**. OESE and PES cooperate with HHS on evaluation projects like School Health Policies and Program's Study. (Objective 1.3) • **Data**. OESE and PES maximize use of data including NIDA's Monitoring the Future and the Center for Disease Control's (CDC) Youth Risk Behavior Surveillance System. (Objective 1.3) • **After-school programs.** Family-School Partnership Initiative, HHS, and other agencies participate in the Federal Support to Communities Initiative, which was established to coordinate after school programs. (Objective 1.5) • **Alignment of indicators.** OESE works with the Head Start Bureau to align indicators of progress and quality between the Even Start program and Head Start programs. (Objective 2.1) • **Early learning programs**. OESE coordinates preschool programs and efforts of the proposed "Early Learning Fund," which is proposed to support programs that improve early learning and the quality and safety of childcare. (Objective 2.1) • **Information sharing.** OESE will use the Early Childhood Research Working Group to exchange/share current information, provide opportunities for interagency research collaboration, and use findings to improve programs. (Objective 2.1)

U.S. Department of Education – Coordination with Federal Agencies

Health and Human Services **HHS** *(Continued)*	• **America Reads initiative**. OUS will coordinate publication development and dissemination with Head Start and Resource and Referral Network. (Objective 2.2) • **Reading outreach**. The ARC Office will coordinate outreach with Head Start and Resource and Referral Network to early childhood caregivers. (Objective 2.2) • **Reading and early childhood collaboration**. OESE, OIIA, and the ARC Office will coordinate community collaboration of Head Start and Resource and Referral Network and Department funded activities for reading and early childhood. (Objective 2.2) • **Study on acquisition of English**. OBEMLA will be collaborating with NICHD to launch a five-year study on acquisition of English and teaching and learning of reading. (Objective 2.2) • **Research.** Continue to support the efforts of NICHD in studying ways in which Spanish speaking children can best learn English. (Objective 2.4 and Objective 4.3) • **Participation in educational activities**. OESE, OBEMLA, and OSERS will expand coordinated efforts to ensure that children from families moving from welfare to work and others with special needs receive opportunities to participate fully in educational activities aimed at helping them reach high standards in school. (Objective 2.4) • **Learning accommodation strategies.** The Division of Adult Education and Literacy (DAEL) will work with the NIH and the Division of National Adult Literacy and Learning Disabilities Center to develop information concerning learning accommodation strategies to facilitate the participation of adults with disabilities in literacy programs. (Objective 3.4) • **Early Childhood Longitudinal Study.** NCES will add a birth cohort to the Early Childhood Longitudinal Study with HHS and USDA. (Objective 4.3)
Housing and Urban Development **HUD**	• **After-school programs**. The Family-School Partnership Initiative, HUD, and other agencies participate in the Federal Support to Communities Initiative, which was established to coordinate after-school programs. (Objective 1.5) • **Technology.** ED is cooperating with HUD and other agencies on an ongoing basis to increase school and community access to educational technology and to encourage its effective use. (Objective 1.7) • **Defaulted borrowers**. OPE will work with HUD to better track defaulted borrowers and return them to repayment. (Objective 3.3)

U.S. Department of Education – Coordination with Federal Agencies

Interior **DOI**	- **Challenging standards.** ED is working with the Bureau of Indian Affairs to develop standards and assessments for the Bureau's schools to help Indian students reach challenging standards. (Objective 1.1) - **Reading programs.** OIIA, OESE, and the ARC Office will coordinate with the Bureau of Indian Affairs schools to encourage extended learning in reading programs that support the America Reads Challenge. (Objective 2.2) - **Mathematics and science achievement.** ED-NSF is coordinating with Interior, as well as many other agencies, to implement an action strategy for improving achievement in mathematics and science. (Objective 2.3)
Justice **DOJ**	- **Prevention activities.** OESE's SDFS office will continue to pursue joint projects, such as the truancy and hate crimes initiatives with DOJ's Office of Juvenile Justice and Delinquency Prevention (OJJDP) (Objective 1.3) - **Data**. OESE and PES work with DOJ to develop and implement the President's Report Card on School Violence. (Objective 1.3) - **After-school programs.** The Family-School sector of the Partnership for Family Involvement in Education continues to work with DOJ and other agencies to make the most of out-of-school time. (Objective 1.5) - **Census of juvenile facilities.** OESE, OVAE, and PES will coordinate in developing a multidisciplinary project to collect information on juveniles in detention and correctional custody, including data on education. (Objective 2.4) - **Defaulted borrowers.** OPE will work with DOJ to better track defaulted borrowers and return them to repayment. (Objective 3.3) - **Student aid eligibility.** OPE will work with Immigration and Naturalization Service (INS) to perform data matches to efficiently and effectively determine eligibility for student aid (Objective 3.3) - **Student loan repayment.** OPE will work the Internal Revenue Service (IRS) to obtain adjusted gross income and other tax information on borrowers regarding the repayment of their student loans including tax refund offset for defaulted borrowers. (Objective 3.3)
	- **Evaluation.** OSES and PES will cooperate on evaluation projects such as the National Study on School Violence, conducted in cooperation with the National Institute for Justice and the National Study of Delinquency Prevention in Schools. (Objective 1.3) - **Prevention technical assistance**. OESE's SDFS office with OJJDP, and DOJ's Office for Victims of Crime will jointly pursue projects, including providing training and technical assistance to educators, communities, and states. (Objective1.3) - **Data**. OESE and PES seek to maximize use of National Crime Victimization Survey data in reporting on school crime. (Objective1.3)
Labor **DOL**	- **School-to-work program.** OVAE and DOL jointly administer the School-to-Work program and, through the national School-to-Work Office, are coordinating efforts to improve program management by aligning grant making, audit, technical assistance, and performance reporting functions. (Objective 1.2) - **School-to-work concepts.** Job Corps Centers are being encouraged to emphasize adoption of School-to-Work concepts. (Objective 1.2) - **Technology.** ED is currently working with the DOL, the White House National Economic Council, White House Office of Science and Technology Policy, and other agencies, to increase school and community access to educational technology and to encourage its effective use. (Objective 1.7) - **Participation in educational activities.** OESE, OBEMLA, OSERS expand coordinated efforts to ensure that children from families moving from welfare to work and others with special needs receive opportunities to participate fully in educational activities aimed at helping them reach high standards. (Objective 2.4) - **Student with disabilities**. Rehabilitation Services Administration (RSA) and the School-to-Work office are working to ensure that students with disabilities receive appropriate School-to-Work transition services. (Objective 3.4) - **Waiver authority** ED jointly administers waiver authority with the School-to-Work Office. (Objective 4.2)

U.S. Department of Education – Coordination with Federal Agencies

Treasury **TREAS**	• **Information dissemination.** Internal Revenue Service prepares publications in consultation with OPE regarding steps needed for taxpayers to claim the Hope Scholarship and Lifetime Learning tax credits (Objective 3.2) • **Student loan interest rates.** Consult with the Treasury Department on the setting of student loan interest rates. (Objective 3.2) • **Defaulted borrowers.** Work with IRS to implement a proposed data matching agreement to verify key need analysis reported by applicants and their families; obtain adjusted gross income and other tax information on borrowers regarding repayment of student loans. (Objective 3.3) • **Tax credits**. OPE coordinates to implement the Lifetime Learning tax credit. (Objective 3.4)

Independent Agencies

College Board	• **Early awareness programs.** Work in conjunction with the College Board and many other organizations in designing and implementing the Early Awareness Information program and GEAR UP to help middle-school students prepare for college. ED also receives input and support from the College Board for the ED-NSF national mathematics public engagement campaign. (Objective 1.5, Objective 3.1)
Corporation for National Services **CNS**	• **After-school programs.** The Family-School Partnership Initiative, USDA, and other agencies participate in the Federal Support to Communities Initiative, which was established to coordinate after-school programs. (Objective 1.5) • **America Reads Challenge (ARC) sites**. ARC coordinates 65 ARC Pilot Sites with CNS grantee sites using CNS volunteer tutors. (Objective 1.5, Objective 2.2) • **Publication development.** The ARC office will coordinate cross-use of CNS and ED publications for the ARC and collaborative development of materials. (Objective 2.2) • **College Work-Study support**. The ARC office will cross-use College Work-Study students to support CNS and Department ARC sites. (Objective2.2)
Federal Communications Commission **FCC**	• **E-rate.** The Office of Educational Technology will work with the FCC and the Schools and Libraries Corporation to effectively implement effective use of the "E-rate," which will greatly expand the use of technology in schools. (Objective 1.7)
Federal Interagency Coordinating Council **FICC**	• **Services.** ED is using FICC to coordinate strategies to provide educational services to children with disabilities and their families. (Objective 2.1)
General Services Administration **GSA**	• **Information dissemination.** OERI continues to work with the Consumer Information Center (CIC) to develop, promote, and distribute information to the public. (Objective 4.1) • **Building services.** ED works with GSA to coordinate building services. (Objective 4.5) • **Acquisition system resources.** ED continues to coordinate with GSA in maximizing the use of government-wide acquisition system resources and promoting a "single face" to industry. (Objective 4.6)
Government Printing Office **GPO**	• **Depository Library System.** OERI continues to work with this library system to ensure that all documents printed by GPO are deposited, putting ED documents in the public domain for use by all taxpayers and citizens. (Objective 4.1)
Job Corps	• **School-to-Work.** Job Corps Centers are incorporating tenets of STW to improve the effectiveness of services for out-of-school youth. (Objective 1.2)
National Academy of Sciences	• **Assessment techniques.** ED is working with NAS to disseminate information on state of the art assessment techniques. (Objective 1.1) • **Outreach.** ED supports the dissemination and outreach based on NAS study, "Preventing Reading Difficulties in Young Children." (Objective 2.2) • **Research.** Support NAS study on early childhood pedagogy. (Objective 2.2)

U.S. Department of Education – Coordination with Federal Agencies

National Aeronautical and Space Administration **NASA**	• **Teachers of mathematics.** OERI will work with NASA and others agencies to implement an interagency action strategy for improving achievement in math and science. (Objective 2.3)
National Education Goals Panel	• **Standards in the classroom.** ED is working with the National Education Goals Panel, as well as many other organizations, to promote strategies of introducing and maintaining standards in the classroom. (Objective 1.1)
National Science Foundation **NSF**	• **Professional development.** OERI, ODS, OESE, in coordination with NSF, fund projects of national significance to upgrade professional development in mathematics. (Objective 1.4) • **Challenging mathematics.** ODS and other ED offices work on the ED-NSF action strategy to launch a national information and engagement campaign on the importance of mathematics and jointly award grants to strengthen the coordination of federal programs in supporting challenging mathematics. (Objective 2.3) • **Research priorities.** OERI, NSF, and NICHD will establish a collaborative research agenda to address issues such as the development of reading and mathematics skills in young children, the improvement of school readiness, the development of science concepts and the use of technology, and the improvement of professional development for educators. (Objective 4.3) • **Research**. Several ED offices (OESE, OERI, OUS, and OSERS) support the Early Childhood Research Working Group (HHS, DOD, DOJ, DOL, and NSF) in coordinating research priorities and databases. (Objective 4.3)
National Staff Development Council **NSDC**	• **National Awards Program.** ED is coordinating with NSDC in the dissemination of information about the lessons from the award-winning sites under ED's National Awards Program for High-Quality Professional Development. (Objective 1.4)
Office of Science and Technology Policy **OSTP**	• **Learning technologies**. The Office of Educational Technology will work to complete interagency action plan on learning technology research and development. (Objective1.7) • **Community access to technology.** Working with the White House National Economic Council, White House Office of Science and Technology Policy, and other agencies, the Department is working to increase school and community access to educational technology and to encourage its effective use. (Objective 1.7)
Office of National Drug Control Policy **ONDCP**	• **Prevention activities**. OESE's SDFS office supports the Initiative on Youth Substance Abuse Prevention with HHS, and ONDCP. (Objective 1.3) • **Performance indicators.** OESE's SDFS office is coordinating performance indicators with ONDCP and other agencies. (Objective 1.3)
Selective Service	• **Student aid eligibility.** OPE works with Selective Service to perform data matches to efficiently and effectively determine eligibility for student aid. (Objective 3.3)
Social Security Administration **SSA**	• **Social security.** RSA will address with the SSA the disincentives to work that affect SSA beneficiaries. (Objective 3.4)
U.S. Postal Service **USPS**	• **Defaulted borrowers**. OPE will work with USPS to better track defaulted borrowers and return them to repayment. (Objective 3.3)

Appendix B. Descriptions of Program Evaluations and Other Studies

Appendix B: Descriptions of Program Evaluations and Other Studies

The Government Performance and Results Act requires agency strategic plans to describe the program evaluations used in establishing and revising general goals and objectives and a schedule for future program evaluations.

The Department has an active evaluation program, national statistical and assessment studies, and grantee/institution information systems to provide information supporting the Strategic Plan. Our studies and surveys provide information on student progress, education system improvement, the effects of specific programs and initiatives, financial aid, and the management of the Department. We also use data from other federal agencies' studies and surveys where available.

This section describes the key studies that will inform the implementation of goals and objectives in the Department's strategic plan, including providing data for the performance indicators. The table includes the study's title, what agency sponsors it and who carries it out, the sample population, the nature of the data collected, and when the data are or will be collected. It is grouped by evaluations, statistical and national assessment studies, grantee performance systems, and other studies.

Descriptions of Program Evaluations and Other Studies

	Study or Survey	Sponsor/Data Collector	Data Providers	Data Collected	Collection Date(s)
Elementary and Secondary Education Program Evaluations					
1.	**Baseline State Implementation Study** (Objectives 1.3,1.4, 2.4, 4.2)	Planning and Evaluation Service (PES) Contractor: Policy Studies Associates, Inc.	All states, federal program directors, and state research or evaluation specialists in state education agencies	Initial information on implementation of new provisions of state-administered ESEA and Goals 2000 programs. Key issues include standards development, assessment systems, technical assistance, and state supports for school improvement. Focus is on how legislative framework and federal resources are incorporated into the context of state school improvement efforts.	1996
2.	**Follow-Up State Implementation Study** (Objectives 1.3, 1.4, 1.7, 2.4, 4.2)	PES Contractor: Policy Studies Associates, Inc.	All states, federal program directors, and state research or evaluation specialists in state education agencies	Follow-up information on implementation of new provisions of ESEA programs and Goals 2000. Focus is on how legislative framework and federal resources are incorporated into the context of state school improvement efforts. Key issues include standards development, assessment and accountability systems, technical assistance, and state supports for school improvement.	1998
3.	**District Implementation Study (*Reports on Reform from the Field)*** (Objectives 1.1, 2.4, 4.2)	PES Contractor: Urban Institute, Inc.	District administrators of Federal ESEA and Goals 2000 programs (nationally representative sample)	Baseline information on districts' efforts to support the implementation of ESEA programs, particularly Title I, and Goals 2000 within the context of state and local reforms.	1997
4.	**Cross-cutting District Survey and Case Studies** (Objectives 1.1, 2.4, 4.1, 4.2)	PES Contractors: Policy Studies Associates, Inc. and Urban Institute, Inc.	District administrators of Federal ESEA and Goals 2000 programs (nationally representative sample)	Information on districts' efforts to support the implementation of ESEA programs, particularly Title I, and Goals 2000 within the context of state and local reforms. Focuses on program governance, supports for effective instruction, and family/community partnerships.	1998
5.	**Public School Surveys on Education Reform** (Objectives 1.1, 1.4, 1.5, 1.7)	PES and NCES Contractor: Westat, Inc.	Public school principals and teachers (nationally representative sample)	Baseline data on principals' and teachers' perceptions of systemic education reform and the extent to which reform activities are being implemented in their schools. Focus is on high standards for all students and alignment of curricula, instruction, textbooks, innovative technologies, and student assessment with these high standards. Surveys also addressed parent involvement, information needs, and effective sources of information for principals and teachers. The teacher survey also collects initial data about professional development. The principal survey specifically addresses changes in Title I since reauthorization.	1996

Descriptions of Program Evaluations and Other Studies

	Study or Survey	Sponsor/Data Collector	Data Providers	Data Collected	Collection Date(s)
6.	**Follow-Up Survey of Schools** (Objectives 1.1, 1.4, 1.5, 1.7)	PES Contractor: Westat, Inc.	Public school principals (nationally representative sample)	Information on school-level understanding and implementation of standards-based reform and Title I and Goals 2000 supports for reform, including implementation of state-established content and performance standards.	1997
7.	**Longitudinal Evaluation of School Change and Performance** (Objectives 1.1, 1.4, 1.5, 1.7)	PES Contractor: Westat, Inc.	71 elementary schools in 18 moderate to high poverty school districts in 7 states	Information on the impact of implementation of Title I's reauthorization on teaching and learning, focusing on the curriculum and instruction enacted in classrooms, on student performance as measured by a nationally uniform instrument, and on how these change over time.	Spring 1997, 1998, 1999
8.	**National Longitudinal Survey of Schools** (Objectives 1.1, 1.4, 1.5, 1.7, 2.1, 2.2, 2.3, 2.4)	PES Contractor: Westat, Inc.	School principals, teachers (nationally representative sample)	Information on how schools are implementing standards-driven improvements, with a particular focus on implementation of the new Title I provisions supporting such improvements. Also examines how schools use their outcome data to change classroom practice and how they measure progress continuously.	1998, 1999, 2000
9.	**Reanalysis of National Assessment of Educational Progress (NAEP) National and State-Level Results** (Objectives 1.1, 2.4)	NCES, PES Contractor: Educational Testing Service	NAEP national and state-level results (for participating states) in reading and math	Comparison of performance on NAEP for students enrolled in high- and low-poverty schools.	Analysis conducted in 1998 for data collected from 1986 to the present. Ongoing analyses of subsequent NAEP assessments.
10.	**Study of Education Resources and Federal Funding** (Objectives 1.1, 1.3, 1.4, 1.5, 1.7, 2.4)	PES Contractor: American Institutes for Research	All state educational agencies (50); national sample of school districts (180), schools (720), teachers, and aides	Uses of federal resources from six major federal programs: Titles I, II, III, IV, and VI of ESEA and Goals 2000. Targeting of these funds among school districts and, for Title I, among schools. Federal role in providing support for professional development, technology, and standards and assessments.	1997-98 school year
11.	**Study of Local Education Agency Activities under the Safe and Drug-Free Schools Program** (Objective 1.3)	PES Contractor: Westat, Inc.	National sample of school districts	Information on LEA implementation of the SDFS program, such as planning, uses of funds, evaluation, and goals and objectives, including information relevant to the Principles of Effectiveness.	1999 (may be repeated)
12.	**Goals 2000 State Planning and Implementation Reports** (Objectives 1.1, 1.4, 1.7)	PES Contractor: Policy Studies Associates, Inc.	All states (annual Goals 2000 progress reports)	State systemic reform plans and accomplishments to date, especially with respect to the role of Goals 2000.	Fiscal year 1997

Descriptions of Program Evaluations and Other Studies

	Study or Survey	Sponsor/Data Collector	Data Providers	Data Collected	Collection Date(s)
13.	**Evaluation of the Title I, Part D Programs for Students Who Are Neglected, Delinquent, or At-Risk of Dropping Out of School** (Objective 2.4)	PES Contractor: Research Triangle Institute	Universe of state agencies administering Part D programs; selected state and local facility staff	Program planning and administration, services provided, staffing and resources, evaluation.	Winter and spring 1999
14.	**Study of Homeless Education: Follow-Up to the 1995 National Evaluation** (Objective 2.4)	PES Contractor: Policy Studies Associates, Inc.	Universe of state homeless coordinators, selected districts providing homeless education programs	Educational needs and barriers facing homeless students and ways they are addressed, how services are provided, differences between districts receiving McKinney funding and those that do not.	Fall 1998
15.	**Evaluation of Title I Services to Private School Students** (Objective 2.4)	PES Contractor: Policy Studies Associates, Inc.	Nationally representative sample of Title I district administrators, private school representatives	Trends in private school students' participation in Title I; consultation between Title I administrators, private school representatives and parents; procedures used by districts to count the number of low-income students in private schools; services available; resource allocations; student assessment and program evaluation.	Spring 1997
16.	**Third National Evaluation of the Even Start Family Literacy Program** (Objectives 1.5., 2.1, 2.2)	PES Contractor: Abt Associates Inc.	Universe of Even Start local projects (project directors and staff)	Program characteristics: service delivery and intensity. Participant characteristics: demographic information on families, parents, and children. Participation outcomes: participation rates, literacy outcomes for parents and children.	Program years 1997-98 through 2000-01
17.	**Even Start Information System (Second National Evaluation of the Even Start Family Literacy Program)** (Objectives 1.5., 2.1, 2.2)	PES Contractor: Fu Associates Ltd.	Universe of Even Start local projects (project directors and staff)	Program characteristics: service delivery, and intensity. Participant characteristics: demographic information on families, parents, and children. Participation outcomes: participation rates, literacy outcomes for parents and children.	Program years 1993-94 through 1996-97
18.	**Comprehensive School Reform Evaluation** (through the **National Longitudinal Survey of Schools**, see #6)	PES Contractor: Westat, Inc.	CSRD schools, principals and teachers (nationally representative sample)	Data on implementation of school reform models, effect of models on school and classroom changes, and progress in attendance and achievement in selected states with trend data.	School years 1998-99, 1999-2000, 2000-01
19.	**Evaluation of the Eisenhower Professional Development Program** (Objectives 1.4, 2.3)	PES Contractor: American Institutes for Research	Teachers, district coordinators, IHE project directors, State staff, district staff, principals, professional development providers	National surveys of district coordinators, IHE project directors, teachers who participated in Eisenhower; in-depth case studies of 5 states and 10 districts and 30 schools within 5 states; Longitudinal study of teacher change of 600 teachers in the case study schools. Observations of professional development.	1997 – 1999

Descriptions of Program Evaluations and Other Studies

	Study or Survey	Sponsor/Data Collector	Data Providers	Data Collected	Collection Date(s)
20.	**Evaluation of the Technical Assistance & Dissemination Efforts of the Eisenhower Mathematics and Science Regional Consortia Program: Case Studies** (Objective 1.4)	PES Contractor: SRI International	Consortia staff; participants in Consortia activities	Interview data and observations of Consortia services.	1998
21.	**Surveys of Educators Served by the Eisenhower Mathematics and Science Regional Consortia Program** (Objective 1.4)	PES Contractor: To be determined	Participants in Consortia activities	Survey data from educators who receive assistance and materials from the Consortia.	1999 and early 2000
22.	**Comprehensive Assistance Centers Evaluation** (Objectives 2.4, 4.1, 4.3)	PES Contractor: Policy Studies Associates, Inc.	All 15 Comprehensive Centers; 800 state, district and school customers; 750 participants in Centers' activities; 800 non-customers	Baseline data on customers representing school-wide programs or high-poverty districts and BIA funded schools; activities providing integrated, non-categorical assistance; customer satisfaction; professional development activities; and coordination and collaboration of services across Centers and ED's TA providers.	Winter and Spring, 1999
23.	**Magnet Schools Assistance Program (MSAP) Evaluation** (Objective 1.6)	PES Contractor: American Institutes for Research	District administrators for all MSAP grantees (FY98 cycle); representative sample of principals and teachers in MSAP-funded schools; federal program staff	Characteristics of MSAP projects and districts; information about the extent to which MSAP projects reduce the incidence of minority group isolation, promote systemic reform efforts, feature innovative education practices, and strengthen student achievement; and information about how the MSAP contributed to the development and implementation of magnet projects.	1999-2002
24.	**Public Charter Schools Program (PCSP) Evaluation** (Objective 1.6)	PES Contractor: SRI International	State coordinators, chartering agencies, charter school directors, principals, teachers; federal program staff	Information about the operations of the PCSP and the uses and impacts of the funding and other assistance it provides; characteristics and operations of the charter school universe.	1999-2002
25.	**Public Charter Schools Program Interim Report to Congress** (Objective 1.6)	PES Contractor: Westat, Inc.	Federal and state administrative records, charter school directors (from RPP study); federal program staff	Descriptive summary of how the program has funded the start up of charter schools, and how the program has funded national activities (technical assistance, research, and outreach). This report also provides characteristics of federally funded charter schools and students.	1995-1998
26.	**Evaluation of Educational Technology: Technology Literacy Challenge Fund and Related Programs: High Intensity Technology Sites Study** (Objective 1.7)	PES Contractor: American Institutes for Research	School principals, school staff, and students (about 10 TLCF districts)	Characteristics of school implementation of educational technology, and related instruction and student outcomes.	1999-2001

Descriptions of Program Evaluations and Other Studies

	Study or Survey	Sponsor/Data Collector	Data Providers	Data Collected	Collection Date(s)
27.	**Congressionally-Mandated Study of Migrant Student Participation in Title I School-wide Programs** (Objective 2.4)	PES Contractor: Westat, Inc.	Nationally representative school principals, school staff, from a sample of school-wide projects that have migrant students	Characteristics of migrant students and schools, planning and needs assessment, instructional and support services provided, migrant parent involvement, and funding.	1997
28.	**Support for Data Gathering and Analysis for the Migrant Education Program** (Objective 2.4)	PES Contractor: Westat, Inc.	All state coordinators	Characteristics of migrant students and schools, participation information, services provided, number of school-wide, summer, and extended time projects.	1996-97
29.	**Eisenhower Professional Development Program: Production of New Triennial Report and Analysis of Data from Annual State Performance Reports** (Objective 1.4, 2.3)	PES Contractor: Westat, Inc.	State Eisenhower coordinators	Data on program performance indicators for professional development, including baseline and other data.	December 1998
30.	**Supplemental Study of the Technology Literacy Challenge Fund** (Objective 1.7)	PES Contractor: American Institutes for Research	Representative sample of TLCF districts	Collection of data on TLCF local grantees, supplementing the sample for cross-cutting studies. Analysis of TLCF State Performance database in the context of this data.	1999-2000
31.	**Technology Innovation Challenge Grants Impact Evaluation** (Objective 1.7)	PES Contractor: To be determined	School staff, site evaluators.	Evaluation being designed. Study of implementation and impacts of Technology Innovation Challenge Grants.	1999 (est.)
32.	**Performance Indicator System for the Safe and Drug-Free Schools and Communities Program** (Objective 1.3)	PES Contractor: Westat, Inc.	All SDFS State Education Agency coordinators and Governors' Program state coordinators	Information on state administration and implementation of the SDFS program, including progress toward achieving state measurable goals and objectives, implementation of the Principles of Effectiveness, and prevalence of youth drug use and violence.	Annual, beginning in 1997
33.	**Study on School Violence and Prevention** (Objective 1.3)	PES Contractor: Westat, Inc.	Nationally representative sample of schools	Information on incidents of crime/violence in schools, implementation of violence prevention activities, case studies of school safety.	1998 through 2001
34.	**Quality and Impact of SDFS Program Activities** (Objective 1.3)	PES Contractor: To be determined	Districts and schools	Factors affecting the effective implementation of the Principles of Effectiveness and, in particular, the use of research-based prevention approaches, as well as the outcomes of efforts by districts and schools to prevent or reduce violence and alcohol and other drug use among school-aged youth.	1999 through 2001

Postsecondary, Vocational, School-to-Work, and Adult Program Evaluations

BEST COPY AVAILABLE

Descriptions of Program Evaluations and Other Studies

	Study or Survey	Sponsor/Data Collector	Data Providers	Data Collected	Collection Date(s)
35.	**College Preparation Studies** (Objective 3.1)	PES	Middle-grade students and their parents	The National Education Longitudinal Survey (NELS) was used to identify key factors affecting which eighth-grade students enrolled in college within two years of expected high school graduation and which did not. In addition, a series of focus groups and a survey of middle-school parents were conducted to develop a better understanding of what information parents of middle-school students have and need concerning the benefits, academic requirements, cost of college, and the availability of student aid.	Research analyses: 1996 and 1997 Surveys and focus groups: 1997
36.	**"What Works" Study for Adult English as a Second Language Literacy Students** (Objective 3.4)	PES and OVAE (Office of Vocational and Adult Education) Contractor: American Institutes for Research	Adult participants in English as a Second Language programs who have limited native-language literacy	Data on learning gains, persistence, and literacy practices.	1999-2000
37.	**Evaluation of Effective Adult Basic Education Programs and Practices** (Objective 3.4)	PES and OVAE Contractor: Abt Associates, Inc.	Participants in low-level Adult Basic Education classes	Data on learning gains, persistence, and learner perceptions of self-esteem and self-efficacy.	1999-2000
38.	**Longitudinal Study of the Vocational Rehabilitation (VR) Service Program** (Objective 3.4)	PES and OSERS (Office of Special Education and Rehabilitative Services) Contractor: Research Triangle Institute Inc.	A sample of 8,500 current and former VR consumers at 37 VR offices	Information on the characteristics of VR consumers and local VR agency offices; the impact of local economic and environmental factors on services and outcomes; and short- and long-term outcomes achieved by VR consumers and their satisfaction with the program.	1994-1998

Descriptions of Program Evaluations and Other Studies

	Study or Survey	Sponsor/Data Collector	Data Providers	Data Collected	Collection Date(s)
39.	**National Direct Student Loan Evaluation** (Objective 3.2)	PES Contractor: Macro, Inc.	Representative samples of postsecondary institutions, students, and parents participating in the Direct Loan and Federal Family Education Loan (FFELP) programs	The evaluation centers on three major issues: 1. *Institutions' Administration of the Direct Loan Program:* The study is capturing customer satisfaction data and identifying areas where Direct Loan institutions are having problems, and identifying and disseminating best practices. 2. *Borrower Understanding and Repayment Experience:* The study is surveying Direct Loan and FFEL borrowers to determine their satisfaction with their loan program, as well as their knowledge and understanding of the loan origination and repayment processes. 3. *ED's Administration of the Direct Loan Program:* The study will focus on the outcomes of ED's administration rather than internal processes, with the exception of certain key areas. Outcomes will be assessed mainly through institutions' and borrowers' satisfaction with information provided by ED, and services obtained in surveys of Direct Loan and FFELP institutions and borrowers as well as interviews of ED and other federal officials, and reviews of documents and reports.	Case studies annually from 1994 to 1998 Institutional surveys annually from 1995 to 1998 Borrower surveys 1995, 1997, and 1998 ED interviews annually from 1994 to 1998
40.	**National Evaluation of School-to-Work** (Objective 1.2)	PES Contractor: Mathematica Policy Research, Inc. (MPR)	Surveys of 12th grade students; transcripts; follow-ups, surveys of local partnerships; case studies of eight states and 39 communities	Information on participation, high school programs of study, postsecondary enrollment and employment; STW implementation.	1996-2000; report to Congress—January 1999.
41.	**Postsecondary Gatekeeping Studies** (Objective 3.3)	PES	Purposive samples of postsecondary institutions, accrediting agencies, and states chosen either because of the type of instruction being provided or to identify and disseminate best practices	Several studies have been or will be conducted assessing how the gatekeeping process is functioning. Examples of these studies include assessment of the standards used in accrediting Associates in Applied Sciences Degrees; exploration of the use of secondary data sources, such as unemployment insurance files, to determine employment outcomes for students attending vocationally oriented programs; analysis of the standards employed by accrediting associations in reviewing graduation and placement rates in proprietary institutions; and a summary of the results of the experimental sites initiative.	Variable depending on emerging issues

Descriptions of Program Evaluations and Other Studies

	Study or Survey	Sponsor/Data Collector	Data Providers	Data Collected	Collection Date(s)
42.	**Postsecondary Customer Satisfaction Surveys** (Objective 3.3)	PES and Office of Postsecondary Education (OPE)	Representative samples of postsecondary institutions and students participating in the postsecondary education programs	Surveys have been or are being conducted of postsecondary institutions' satisfaction with the operation and management of the student aid programs, TRIO, and student aid applicants' satisfaction with the application process.	Institutional surveys, 1995 and 1997 and annually beginning in 1999 Applicant survey, 1997
43.	**Postsecondary Data Analyses and Performance Measures** (Objectives 3.2 and 3.3)	PES	Analysis of available information related to the performance of the postsecondary education programs	Studies use available data from NCES or Census surveys or ED administrative files to obtain information to help in assessing the performance of the postsecondary education programs. Data provided includes trends in the affordability of postsecondary education, debt burden, default rates, and measures of institutional compliance.	Annual, with the type of analysis dependent on emerging policy issues and data availability
44.	**Targeted Student Aid Studies** (Objective 3.2)	PES	Representative samples of specific populations who are affected by changes in legislation or policy	Small, one-time surveys of specific populations are conducted to assess the effects of major changes in student aid policy. Examples of this type of study are surveys of students affected by changes in the reauthorization of the Higher Education Act (HEA) and students and institutions participating in the Federal Work-Study (FWS) program.	Study of 1992 HEA reauthorization was completed in 1997. FWS study: 1998-99 Planned study of next HEA reauthorization to begin in 1999
45.	**Title III (Higher Education Act) Performance Measurement Study** (Objective 3.2)	PES Contractor: Math Tech, Inc.	Institutions participating in the Title III (Higher Education Act, HEA) program	This study is designed to develop a system of performance indicators for judging the success of the Title III programs. The four goals of the study are to (1) define program goals in measurable terms; (2) determine how federal management activities contribute to program goals; (3) determine how institutional activities contribute to program goals; and (4) establish an annual progress report. Information to accomplish these goals was obtained from a survey of all Title III participating institutions and case studies at between 30 and 40 selected sites.	Both the survey and case studies were conducted in 1997

Descriptions of Program Evaluations and Other Studies

	Study or Survey	Sponsor/Data Collector	Data Providers	Data Collected	Collection Date(s)
46.	**TRIO-Student Support Services (SSS) Evaluation** (Objective 3.2)	PES Contractor: Westat, Inc.	A nationally representative sample of 2,900 students participating in SSS projects at 30 colleges and a control group of 2,900 students consisting both of students at the 30 SSS institutions who did not participate in the program and of students at 20 matched institutions not participating in the SSS program. Case studies were conducted at the 50 schools.	Data are being collected to assess the effects of the SSS program on college retention and graduation, GPA, and transfer behavior (from 2-year to 4-year institutions). A second and equally important focus of the evaluation is the identification of effective services and practices for program improvement.	A baseline survey was conducted in 1991-92 with follow-up surveys in 1994 and 1997. College transcripts were collected with each survey. Report issued in 1997. Next report in 1999.
47.	**GEAR UP** (Objective 3.1)	PES Contractor: To be determined	May include IHEs, schools, teachers, students, and parents.	Initial data collection will identify the difficulties projects have in implementing high-quality programs, and will establish a baseline against which to evaluate long-term program impacts. The impact of program participation on short-term student outcomes will be examined by collecting data on factors associated with an increased likelihood of attending college (such as college preparatory course-taking, student and parent expectations, attendance and retention) and by collecting long-term outcome data (including high school graduation and enrollment in postsecondary education).	1999-2004
48.	**Title II: Teacher Quality** (Objective 1.4)	PES Contractor To be determined	May include States, IHEs, schools, districts, teachers and teaching candidates	Initial data collection will identify the difficulties projects have had in implementing high-quality projects and in coordinating among partners. The impact evaluation will look at changes in initial teacher certification standards, changes in the quality of the teaching force in selected sites, changes in the quality of pre-service training programs, and the skills of newly minted teachers.	1999-2004

Descriptions of Program Evaluations and Other Studies

	Study or Survey	Sponsor/Data Collector	Data Providers	Data Collected	Collection Date(s)
49.	**Assessment of Vocational Education** (Objective 1.2)	PES Contractor(s) To be determined	States, school districts, teachers, students, employers	Data will be collected to assess the impact of vocational education on student outcomes, progress made by states and local communities in implementing core strategies emphasized in the Perkins Act, uses of federal funds, and the role of mandated accountability requirements in "driving" program improvement.	2000-02.
50.	**TRIO-Upward Bound Evaluation** (Objective 3.2)	PES Contractor: Mathematica Policy Research, Inc.	A nationally representative sample of 67 Upward Bound (HEA) projects hosted by two- and four-year colleges, from which 2,700 eligible applicants were randomly assigned to Upward Bound or to a control group	Data are being collected to assess the effects of Upward Bound (HEA) on students' preparation for college, high school graduation, and college entry and achievement. Impacts are estimated by comparing students in Upward Bound to the control group on a range of measures, including grades, course-taking, attitudes, and educational expectations. Additional data will be collected to assess longer-term impacts on college persistence and graduation.	Baseline survey in December 1992, follow-up surveys undertaken in 1994 and 1996, including high school transcripts. Future surveys will capture data on college persistence and graduation. Report on short-term effects of program participation issued in 1997; next report in 1999.
National Statistical and Assessment Studies					
51.	**Advanced Telecommunications and U.S. Public Elementary and Secondary School Survey** (Objective 1.7)	National Center for Education Statistics (NCES)	National sample of U.S. elementary and secondary schools	Information on school and classroom access to Internet, local area networks, and computers.	1995, 1996, 1997, 1998, annual
52.	**Baccalaureate and Beyond (B&B)** (Objective 3.2)	NCES	A representative sample of graduating college seniors. Beginning in 1992-93, every other National Postsecondary Student Aid Study (NPSAS) serves as the basis for a new B&B study.	Information on time to degree, teacher preparation, early careers of professionals (including teachers), debt burden, and graduate/first professional access and choice. Data are collected from institutional files, ED student aid administrative records, and student interviews.	1992-93 cohort: follow-ups in 1994, 1997 1999-2000 cohort: follow-up in 2001

Descriptions of Program Evaluations and Other Studies

	Study or Survey	Sponsor/Data Collector	Data Providers	Data Collected	Collection Date(s)
53.	**Beginning Postsecondary Students (BPS)** (Objective 3.2)	NCES	A representative sample of first time beginning students, including non-traditional older students and recent high school graduates. Beginning in 1989-90, every other NPSAS serves as the basis for a new BPS study.	Information on persistence, progress, and attainment from initial time of entry into postsecondary education through leaving and entering the work force. Data are collected from institutional files, ED student aid administrative records, and student interviews.	1989-90 cohort: follow-ups in 1992 and 1994 1995-96 cohort: follow-ups in 1998 and possibly 2001
54.	**Child Development Supplement to the Panel Study of Income Dynamics** (Objective 1.5)	Department of Health and Human Services' National Institute for Child and Human Development (NICHD)	Nationally representative sample of 3,200 birth-to-12-year-old children	Data on the cognitive, behavioral, and health status of 3,200 children obtained from the mother, a second caregiver, an absent parent, the teacher, the school administrator, and the child; a comprehensive accounting of parental and caregiver time inputs to children as well as other aspects of the way children and adolescents spend their time; teacher-reported time use in elementary and preschool programs; and measures of other resources, such as the learning environment in the home.	Collected in 1997, to be released by November 1998
55.	**Common Core of Data Surveys** (Goal 1)	NCES	Fifty states, the District of Columbia, and five outlying areas from the universe of state-level education agencies	Information on staff and students is collected at the school, local education agency or school district (LEA), and state levels. Information about revenues and expenditures also is collected at the state level, and NCES joins the Bureau of the Census in collecting school district finance data.	Annual
56.	**Current Population Survey (CPS)/ Annual Demographic Survey-March Supplement** (Objective 3.1)	Department of Labor's Bureau of Labor Statistics and Department of Commerce's Bureau of the Census	Civilian non-institutional population including persons 16 years of age and older residing in the 50 states and the District of Columbia who are not inmates of institutions (e.g., penal and mental facilities, homes for the aged), and who are not on active duty in the Armed Forces	Labor force data including income, labor force participation, and school enrollment (currently enrolled, level of school, and full time/part time status of enrollment).	1940-present, annual

Descriptions of Program Evaluations and Other Studies

	Study or Survey	Sponsor/Data Collector	Data Providers	Data Collected	Collection Date(s)
57.	**Early Childhood Longitudinal Study (ECLS)** (Objective 2.1)	NCES	A sample of kindergardeners from a wide variety of public and private kindergarten programs and from diverse racial-ethnic and socioeconomic backgrounds. One cohort will be followed longitudinally through the 5th grade. Information will be collected from the children and their parents, teachers, and school administrators.	Data on the different environments in which children live and learn -- children's neighborhoods, families, schools, and classrooms.	1998-2004 Beginning in 1998, data collection will occur in the fall and spring of the kindergarten year and in the spring of first, third, and fifth grades.
58.	**High School Transcripts Studies** (Objective 3.1)	NCES	High School Class of 1982, 1987, 1990, 1991, 1994, 1998.	Changes in course-taking patterns will be measured from transcripts collected for high school graduates.	1982, 1987, 1990, 1991, 1994, 1998
59.	**Monitoring the Future (MTF)** (Objective 1.3)	Department of Health and Human Services' National Institute on Drug Abuse Grantee: University of Michigan's Institute for Social Research	National sample (from selected nationally representative LEAs) of 8th, 10th, and 12th grade students	National data on alcohol and drug usage and attitudes, and on victimization in schools.	Annual (12th grade since 1975; 8th and 10th grade since 1991)

Descriptions of Program Evaluations and Other Studies

	Study or Survey	Sponsor/Data Collector	Data Providers	Data Collected	Collection Date(s)
60.	**National Longitudinal Study of Youth (NLSY)** (Goal 1)	Department of Labor's Bureau of Labor Statistics	Six cohorts of men and women who were selected to be representative of all Americans born during a given time. Cohorts include "older men," "mature women," "young men," and "young women," and children born to women in the 1979 survey. Cohorts include persons of civilian and military backgrounds.	Information about the life and labor market experiences of six groups of men and women at different points in time. Includes basic demographic, educational, and labor market data on youth (including out-of school youth).	1966-present Data collections in 1966, 1967, 1968, 1979, 1981 1986, 1990, 1994, 1995, 1997
61.	**National Longitudinal Survey of Youth: Supplement on School-to-work** (Objective 1.2)	National School-to-Work Office and Department of Labor's Bureau of Labor Statistics	Nationally representative sample of 12-17 year olds; school administrator survey	NLSY has been supplemented by additional items relevant to the STW experience; i.e., participation in career majors, job shadowing, career counseling, work-site activities, and participation in various STW programs.	Baseline student survey in 1997; follow up surveys annually School administrator survey in 1997
62.	**National Postsecondary Student Aid Study (NPSAS)** (Objective 3.2)	NCES	A representative sample of all students enrolled at any time during the year in less-than-2-year institutions, community and junior colleges, 4-year colleges, and major universities located in the United States and Puerto Rico at the undergraduate, graduate, and first- professional levels	Detailed data on all forms of student financial aid received, as well as student demographics, family income, education expenses, employment, educational aspirations, parental demographic characteristics, parental support, and ways that students and their families meet the costs of postsecondary education. Data are collected from institutional files, ED student aid administrative records, and student interviews.	1986-87, 1989-90, 1992-93, 1995-96, 1999-2000, and every fourth year thereafter
63.	**National Adult Literacy Survey (NALS)** (Objective 3.4)	NCES Contractor for NALS 1992: Educational Testing Service, Inc. (ETS)	Adults ages 16 and over living in U.S. households, and inmates from 80 federal and state prisons	NALS 1992 assessed the literacy skills of the U.S. adult population using simulations of three kinds of literacy tasks that adults would ordinarily encounter in daily life (prose literacy, document literacy, and quantitative literacy). Other data collected included demographic characteristics, educational backgrounds, reading practices, and labor market experiences.	1992, 2002

Descriptions of Program Evaluations and Other Studies

	Study or Survey	Sponsor/Data Collector	Data Providers	Data Collected	Collection Date(s)
64.	**National Assessment of Educational Progress (NAEP): Elementary and Secondary School Students Survey** (Goal 2)	NCES	Students in the 4th, 8th, and 12th grades in public and private schools	Knowledge, skills, and performance of the nation's children and youth in reading, mathematics, science, writing, history, geography and other selected subjects. *Assessments in reading and mathematics are collected at least every 2 years, in science and writing at least every 4 years, and in history or geography and other selected subjects at least every 6 years.*	1969-present Selected collections: -reading, 1996, 1998, 2002 -math, 1996, 2000 -science, 1996, 2000 -writing, 1998, 2002 -history, 1994, 2001 -geography, 1994, 2001
65.	**National Crime Victimization Survey (NCVS): School Crime Supplement** (Objective 1.3)	Department of Justice's Bureau of Justice Statistics for main survey. NCES supports the School Crime Supplement Contractor: U.S. Census Bureau	National sample of households. The School Crime Supplement sample is 10,000 12 to19-year-old students in NCVS households.	The National Crime Victimization Survey (NCVS) is the nation's primary source of information on criminal victimization. Each year, data are obtained from a nationally representative sample of roughly 49,000 households, comprising more than 100,000 persons on the frequency, characteristics, and consequences of criminal victimization in the United States. The School Crime Supplement focuses on victimization of students.	Overall survey is annual; School Crime Supplement 1989, 1995, 1997, 1999 and triennially thereafter
66.	**National Education Longitudinal Survey of 1988 (NELS:88)** (Objective 3.1)	NCES	A representative sample of students enrolled in the eighth grade in 1988. The sample was freshened in 1990 to represent all tenth-graders and 1992 to represent all twelfth-graders.	Information on high school transitions including academic preparation, course-taking, vocational education, and dropouts; student and parent demographics; and college access and choice. Data are collected from students, parents, teachers, and school principals as well as high school transcripts.	1988, 1990, 1992, 1994, 2000

Descriptions of Program Evaluations and Other Studies

	Study or Survey	Sponsor/Data Collector	Data Providers	Data Collected	Collection Date(s)
67.	**National Employer Survey** (Objective 1.2)	National School-to-Work Office and U.S. Census Bureau Contractor: Wharton School	3200 employers	Information on employer involvement with schools, and School-to-Work in particular, and measurements of the costs and benefits to employers of such involvement.	1994, 1997, 1998, 2000
68.	**National Household Education Survey (NHES)** (Objective 3.1)	NCES	Households in the non-institutionalized civilian population of the U.S.	Data on high-priority education topics are collected on a rotating basis. Topics have included early childhood education, adult education, school readiness, safety and discipline, parent/family involvement in education, and adult/youth civic improvement.	1991, 1993, 1995, 1996, 1999; biannual
69.	**National Voluntary Tests in Reading and Mathematics** (Objective 2.3)	ED Contract to be awarded	4th- and 8th-graders in participating areas	Knowledge, skills, and performance of the nation's children and youth in reading and mathematics.	Assessments in reading and mathematics will be collected annually
70.	**Schools and Staffing Survey (SASS)** (Objective 1.4)	NCES and U.S. Census Bureau	Principals and teachers; public and private schools; school districts	Demographics of the K-12 student population, varying demand for teachers in all regions of the nation, educational qualifications of school teachers and administrators, and working conditions of teachers. A unified set of surveys allows linkages of data on teachers, schools, school districts, and administrators.	1987-88, 1990-91, 1993-94, 1999-2000
71.	**Third International Mathematics and Science Study (TIMSS)** (Objective 2.3)	International Association for the Evaluation of Educational Achievement USA support: NCES and NSF	Students at three grade levels in 41 countries	TIMSS compared the performance of 500,000 students in 41 countries worldwide, including 40,000 Americans, at levels corresponding to U.S. grades 4, 8, and 12. In addition to tests and questionnaires, it included a curriculum analysis, videotaped observations of mathematics classes, and case studies of policy issues.	1995

Grantee Reporting Systems

Descriptions of Program Evaluations and Other Studies

	Study or Survey	Sponsor/Data Collector	Data Providers	Data Collected	Collection Date(s)
72.	**Adult Education National Data Reporting System** (Objective 3.4)	OVAE Contractor: American Institutes for Research	States and local providers	Student participation and program performance and financial data for the Adult Education State Grant program.	Annual
73.	**National Student Loan Data System (NSLDS)** (Objective 3.3)	OPE	Administrative records on all students borrowing through the federal student loan program	Information on the characteristics and status of all student loan borrowers. Used both for administrative purposes --verifying defaulted loan status, student status confirmations, etc. -- and research.	Constantly updated with information from postsecondary institutions, lenders, and state guarantee agencies
74.	**Safe and Drug-Free Schools Act Performance Report** (Objective 1.3)	PES and OESE (Office of Elementary and Secondary Education) Contractor: Westat, Inc.	State coordinators (SEA and Governor's Office) for state formula grant program	Information on program implementation, prevalence and incidence of drug and alcohol use and violence in schools, progress in achieving measurable goals and objectives.	Annual
75.	**School-to-Work State Progress Measures** (Objective 1.2)	National School-to-Work Office, ED, and Department of Labor Contractor: Mathematica Policy Research Associates, Inc.	School-to-Work (STW) partnerships in states with implementation grants and all direct federal grantees	In collaboration with the national School-to-Work Office, states have led the way in defining measures of student, school, and employer participation in career awareness, career exposure, career exploration, and work-based learning activities, as well as "leveraged" funding for STW.	1996, annual
76.	**State annual report cards** (Objective 1.7)	OESE	State education agencies (voluntary)	Information on state educational technology plan and other activities related to the Educational Technology Challenge Fund.	1997, annual.
Other Surveys and Studies					

Descriptions of Program Evaluations and Other Studies

	Study or Survey	Sponsor/Data Collector	Data Providers	Data Collected	Collection Date(s)
77.	**Advanced Placement (AP) Examination Data** (Objective 3.1)	The College Board	High school students taking AP exams in public and private schools	Knowledge, skills, and performance of high school students on AP examinations.	Annual
78.	**Key State Education Policies on K-12 Education** (Objective 1.1)	Council of Chief State School Officers (CCSSO)	State education agencies	Information on state development of content standards, graduation, teacher licensure, time and attendance.	Biennial
79.	**Magnet Schools of America Annual Directory** (Objective 1.6)	Magnet Schools of America, Inc.	Districts/schools with magnet programs nationally	Name of school, school mailing address, school phone number, district location, name of principal, grades served, type of program (whole school or program within a school), and theme type (e.g., math, performing/fine arts, Montessori).	Updated continuously
80.	**Making Standards Matter, 1997** (Objective 1.1)	American Federation of Teachers	State education agencies	Information on state development of academic standards in the core subjects. Report also assesses quality of standards.	1995, 1996, 1997,1998, annual
81.	**Setting Education Standards High Enough** (Objective 1.1)	Southern Regional Education Board	Secondary analysis of student assessment data, for grades 4 & 8	Comparison of performance on NAEP to performance on state assessments.	1996
82.	**State Student Assessment Programs Database** (Objective 1.1)	OERI and Council of Chief State School Officers. Grantee: North Central Regional Educational Lab (NCREL)	State education agencies	Information on state assessment systems.	1996, 1997, 1998, annual
83.	**States' pass rates on rigorous licensing exams** (Objective 1.4)	PES Contractor: Westat, Inc.	Teachers taking the National Teacher Exam/Praxis in 50 states	Pass rates on the National Teacher Exam/Praxis.	1997-2002, annual
84.	**Textbook and Instructional Materials Analysis** (Objective 1.1)	OERI Independent Expert Panel	Textbooks and instructional materials on the market	Percentage of textbooks and instructional materials that independent experts consider exemplary and aligned with high standards.	1998

Appendix C: Relationship of Program Goals to Strategic Plan Goals and Objectives

The Department is committed to being held accountable for measuring and reporting results on our goals and objectives. Like the strategic plan, the individual program performance plans lay out goal objectives, performance indicators and targets, data sources, and key strategies for all programs in the Department. They are directly linked to the Department's budget for each program area. In some cases, several budget line items have been aggregated into a single performance plan. The individual programs are separately identifiable, however, with at least one objective specified for each.

The following table links the Department's programs to the objectives in the strategic plan. It is intended to show where programs have a significant amount of activities or products supporting an objective.

Relationship of Department of Education Programs to Strategic Plan Objectives

	Goal 2000 (state/local impro./parent assist.)	School-to-work opportunities	Regional technology in education	Star schools	Ready to learn television	Telecommunications math	National activities	Technology challenge (funds and grants)	21st Century community learning centers	Title I grants to local ed. agencies	Even Start	Title I migrant education	Title I neglected and delinquent	Comprehensive school reform demonstrations	Migrant education (HEP and CAMP)	Impact Aid	Class size reduction/teacher fin. initiative	Eisenhower prof. dev. state grants	Innovative strategies state grants (Chap. VI)	Safe and drug-free schools	Inexpensive book distribution	Arts in education	Magnet schools assistance	Ed. for homeless children and youth	Women's educational equity	Training and advisory services (CRA-IV)	Ellender fellowships
FY 2000 Request ($000)	$491,000	$55,000	$10,000	$45,000	$7,000	$2,000	$177,000	$560,000	$600,000	$7,996,020	$145,000	$380,000	$42,000	$150,000	$22,000	$736,000	$1,400,000	$335,000	$0	$591,000	$18,000	10,500	$114,000	$31,700	$3,000	$7,334	$0
Goal 1: K-12 education system																											
1.1 States develop and implement standards	X	X	X							X																	
1.2 School to work		X																									
1.3 Strong, safe and drug-free schools									X							X				X							
1.4 Talented and dedicated teachers	X			X		X	X	X		X							X	X	X								
1.5 Families and communities	X				X				X	X	X									X				X			
1.6 Public school choice																							X				
1.7 Technology	X		X	X	X	X	X	X											X								
Goal 2: A solid foundation for all students																											
2.1 All children ready to learn	X				X					X	X										X						
2.2 Third grade reading	X				X				X	X	X	X	X	X			X				X						
2.3 Eighth grade math	X			X		X			X	X			X	X				X									
2.4 Special populations help	X			X	X				X	X	X	X	X	X	X	X						X		X	X	X	X
Goal 3: Postsecondary education and lifelong learning																											
3.1 Secondary students--information & support		X																									
3.2 Postsecondary students--fin. aid & support															X												
3.4 Lifelong learning											X				X												
Goal 4: High-performance organization																											
4.2 Flexibility with accountability	X									X																	
4.3 Research, development and improvement		X	X											X						X							
Civil rights, direct support																							X		X	X	

219

250

Relationship of Department of Education Programs to Strategic Plan Objectives

	Education for Native Hawaiians	Alaska Native Education equity	Charter schools	Comp. regional assistance centers	Advanced placement test fees	Reading excellence act	Indian education	Bilingual education	Foreign language assistance	Immigrant education	IDEA special ed. Grants to States (Part B)	IDEA preschool grants (Part B)	IDEA infants and families (Part C)	IDEA State Improvement	IDEA Research and innovation	IDEA tech. assist. & dissem.	IDEA personnel preparation	IDEA parent information centers	IDEA technology and media services	Primary education intervention	Vocational rehab. (VR) state grants	RA grants for Indians	RA client assistance State grants	RA training	RA Demonstrations and Training programs	RA Migrant and seasonal farmworkers	RA recreational programs
FY 2000 Request ($000)	$20,000	$10,000	$130,000	$32,000	$20,000	$286,000	$77,000	$259,000	$6,000	$150,000	$4,314,000	$402,435	$390,000	$45,200	$64,508	$44,556	$82,139	$22,535	$34,523	$50,000	$2,353,739	$23,390	$10,928	$41,629	$16,942	$2,350	$2,596
Goal 1: K-12 education system																											
1.1 States develop and implement standards				X							X			X	X	X											
1.2 School to work											X					X											
1.3 Strong, safe and drug-free schools				X																							
1.4 Talented and dedicated teachers	X	X		X		X	X	X			X	X	X	X		X	X										
1.5 Families and communities	X	X		X			X	X					X			X		X									
1.6 Public school choice			X	X																							
1.7 Technology				X															X								
Goal 2: A solid foundation for all students																											
2.1 All children ready to learn	X	X		X		X	X				X	X	X		X	X				X							
2.2 Third grade reading				X		X	X	X			X	X			X	X				X							
2.3 Eighth grade math				X			X	X			X				X	X											
2.4 Special populations help	X	X		X	X	X	X	X		X	X	X	X	X	X	X	X	X	X	X	X					X	
Goal 3: Postsecondary education and lifelong learning																											
3.1 Secondary students–information & support					X						X				X	X											
3.2 Postsecondary students–fin. aid & support	X																										
3.4 Lifelong learning																					X	X		X	X	X	X
Goal 4: High-performance organization																											
4.2 Flexibility with accountability			X																								
4.3 Research, development and improvement			X	X			X	X							X	X				X							
Civil rights, direct support											X	X											X				

252

251

BEST COPY AVAILABLE

Relationship of Department of Education Programs to Strategic Plan Objectives

		RA protect./advoc. indiv. rights	RA projects with industry	RA independent living	RA program improvement	RA evaluation	Helen Keller National Center	NIDRR	Assistive technology	American Printing House for the Blind	National Technical Institute for Deaf	Gallaudet University	Vocational education State grants	Vocational education natl. programs	Tribally control, postsec. voc. instit.	Adult ed. (grants, eval., tech. assist.)	National Institute for Literacy	Incarcerated youth offenders	Pell grants	Campus-based programs	Leveraging Educational Assistance Partinship	Federal Family Education Loans	Direct Students Loans	Hispanic-serving developing institutions	Aid for institutional development	Fund for Improvement of Postsec. Ed	Int. ed. & foreign lang. studies	Improving Teacher Quality
	FY 2000 Request ($000)	$10,894	$22,071	$84,574	$1,900	$1,587	$8,550	$90,964	$45,000	$8,973	$47,925	$85,120	$1,013,129	$17,500	$4,100	$468,000	$6,000	$12,000	$7,463,000	$1,695,000	$25,000	$2,216,540	($10,325)	$42,250	$259,825	$27,500	$69,022	$115,000
Goal 1:	K-12 education system																											
1.1	States develop and implement standards																											X
1.2	School to work												X	X	X													
1.3	Strong, safe and drug-free schools																											
1.4	Talented and dedicated teachers										X	X																X
1.5	Families and communities							X																				
1.6	Public school choice																											
1.7	Technology							X	X																			X
Goal 2:	A solid foundation for all students																											
2.1	All children ready to learn									X		X																
2.2	Third grade reading									X		X														X		
2.3	Eighth grade math									X		X																
2.4	Special populations help							X	X	X		X	X	X	X	X		X										
Goal 3:	Postsecondary education and lifelong learning																											
3.1	Secondary students--information & support										X	X																
3.2	Postsecondary students--fin. aid & support										X	X							X	X		X	X	X	X	X		X
3.4	Lifelong learning		X	X	X	X	X	X	X	X	X	X				X	X	X	X	X		X	X					
Goal 4:	High-performance organization																											
4.2	Flexibility with accountability																									X		
4.3	Research, development and improvement							X						X		X	X								X			X
Civil rights, direct support		X		X																								

Relationship of Department of Education Programs to Strategic Plan Objectives

	Urban community service	Demons. projects for students w/disabilities	Interest Subsidy grants	TRIO programs	Graduate assistance in areas of national need	GEAR-UP	Byrd honors scholarships	Child care access	D.C. Access	Preparing for College	Learning anytime anywhere partnerships	Underground railroad program	Howard University	National education research institutes	Regional educational laboratories	National dissemination activities	Statistics and assessment	Eisenhower prof. dev. federal	Funds for Improvement of Education	Javits gifted and talented education	Eisenhower reg. math/sci/consortia	GPRA data/program evaluation	National writing project	Civic education	Internatl. ed. exchange (Goals 2000)	Office for Civil Rights
FY 2000 Request ($000)	$0	$5,000	$12,000	$630,000	$41,000	$240,000	$39,859	$5,000	$17,000	$15,000	$20,000	$1,750	$219,444	$108,782	$65,000	$24,500	$122,000	$30,000	$139,500	$6,500	$17,500	$4,000	$10,000	$9,500	$7,000	$73,262
Goal 1: K-12 education system																										
1.1 States develop and implement standards														X	X	X	X	X	X		X					
1.2 School to work														X		X	X									
1.3 Strong, safe and drug-free schools																X	X									
1.4 Talented and dedicated teachers														X	X	X	X	X	X	X	X		X			
1.5 Families and communities	X					X				X					X	X										
1.6 Public school choice																X	X		X							
1.7 Technology	X										X				X	X	X	X			X					
Goal 2: A solid foundation for all students																										
2.1 All children ready to learn	X													X	X	X	X									
2.2 Third grade reading														X	X	X	X	X	X				X			
2.3 Eighth grade math														X	X	X	X	X	X	X	X		X			
2.4 Special populations help				X		X				X	X			X	X	X	X									X
Goal 3: Postsecondary education and lifelong learning																										
3.1 Secondary students--information & support		X		X		X				X	X						X		X			X				
3.2 Postsecondary students--fin. aid & support		X	X	X	X	X	X	X	X		X		X				X					X				
3.4 Lifelong learning		X						X			X	X	X	X								X				
Goal 4: High-performance organization																										
4.2 Flexibility with accountability																										
4.3 Research, development and improvement											X			X	X	X	X	X	X	X						
Civil rights, direct support																	X									X

255

256

BEST COPY AVAILABLE

Appendix D: Funding and Staffing by Objective

The following table shows the Department's initial estimated distribution of its funding and staffing by Strategic Plan objective. The Department does not have an accounting system that fully supports this breakout. Accordingly, where funds were split between objectives, estimates took into account knowledge about program components or evaluation study findings.

Constructing this table for postsecondary education and lifelong learning was relatively easy. Many K-12 programs have multiple purposes and functions and did not fit as easily into one or two objectives.

Two objectives were particularly cross-cutting, such that major programs could count as meeting them plus at least one other. These were the professional development objective (Objective 1.4) and support for K-12 special populations (Objective 2.4). For example, Title I is totally aimed at improving education for special populations, but, at the same time, it provides billions of dollars for reading and math instruction and thus is the major source of support for Objectives 2.2 and 2.3 (the reading and math objectives).

The funds shown in the *unduplicated* part of the table for Objective 1.4 and 2.4 include programs or parts of programs, which had little or no overlap with other objectives. We also calculated *duplicated* totals for theses two objectives (shown at the bottom of the table) in which were counted all or part of programs that supported professional development or special populations, regardless of whether the program also supported other objectives. As can be seen, a substantial portion of the Department's K-12 funding goes for special populations ($13.6 billion out of the $20.2 billion for Goals 1 and 2).

Distribution of FY 2000 Funding and Staffing by Objective

	Program ($ in millions)	S&E Funding ($ in 000s)	Staffing (FTE)
Total--unduplicated	$35,137.2	$1,106.5	4,737
Goal 1: Help all students reach standards.	**$7,351.9**	**$44.2**	**363**
Objective 1.1. States develop and implement standards.	*$412.3*	*$7.1*	*41*
Objective 1.2. School to work	*$1,768.4*	*$10.7*	*98*
Objective 1.3. Strong, safe, drug-free schools	*$1,275.0*	*$7.2*	*65*
Objective 1.4. Talented and dedicated teachers	*$567.6*	*$4.4*	*37*
Objective 1.5. Families and communities	*$2,127.8*	*$4.5*	*32*
Objective 1.6. Public school choice	*$244.0*	*$2.9*	*26*
Objective 1.7. Education technology	*$956.8*	*$7.4*	*64*
Goal 2: A solid foundation for all children	**$12,902.6**	**$40.7**	**354**
Objective 2.1. All children ready to learn	*$2,028.9*	*$3.0*	*26*
Objective 2.2. All children able to read by 3rd grade	*$7,424.3*	*$11.8*	*105*
Objective 2.3. All 8th graders master math	*$3,449.4*	*$8.6*	*78*
Objective 2.4. Special populations help		*$17.4*	*145*
Goal 3: Postsecondary education and lifelong learning	**$14,221.5**	**$757.7**	**1,962**
Objective 3.1. Secondary students- information & support	*$417.8*	*$3.2*	*28*
Objective 3.2. Postsecondary students- financial aid & support	*$9,123.0*	*$142.9*	*1,396*
Objective 3.3. Postsecondary aid system		*$574.4*	*205*
Objective 3.4. Lifelong learning	*$4,680.7*	*$37.2*	*333*
Goal 4: ED a high-performance organization	**$577.5**	**$189.4**	**1,327**
Objective 4.1. Customer service		*$33.3*	*196*
Objective 4.2. Support for ED partners	*$56.0*	*$10.1*	*90*
Objective 4.3. Research and development	*$521.5*	*$52.4*	*444*
Objective 4.4. Information technology		*$4.1*	*74*
Objective 4.5. ED workforce/operational support		*$33.9*	*173*
Objective 4.6. Financial integrity		*$50.0*	*311*
Objective 4.7. Performance management		*$5.6*	*39*
Civil Rights	**$83.6**	**$74.4**	**731**
Duplicated Objectives			
Objective 1.4 Talented and dedicated teachers	*$1,325.2*	*$6.0*	*51*
Objective 2.4 Special populations help	*$14,295.7*	*$43.7*	*365*

BEST COPY AVAILABLE

For additional copies of the Annual Plan, Volumes 1 or 2:

- Call 1-800-USA-LEARN. *If in Washington, D.C., call 202 401-2000.*
- Fax a request to 202 401-0689.
- E-mail a request to: strategic_plan@ed.gov.
- Download an HTML or PDF file from the Department of Education's web site. The Annual Plan will be located under http://www.ed.gov/pubs/.
- For TTY, call 1-800-437-0833.
- For a Braille or audio-tape version, call 202 260-9895.

For questions on this plan, call Geneise Cooke on 202 205-7939.